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ABSTRACT

In July of 1985, Edward Koch, the Mayor of the City of New York, appointed a Commission to develop recommendations for beginning the phased implementation of universally-available preschool education for 4-year-olds beginning in September, 1986. This report constitutes the Commission's reply to the Mayor's request. Chapter 1 presents 10 recommendations with rationales and key supporting data. Chapter 2 describes and interprets the national and local research on the outcomes of preschool education and explains why the research supports the Mayor's proposal. Chapter 3 details the demographics and the enrollment patterns of the city's 4-year-olds. Chapter 4 provides a description of the three delivery systems that currently provide preschool educational programs, including legislative and funding history; a program model; eligibility criteria; funding sources and levels; staff qualifications and training provisions; and monitoring and evaluation provisions. Chapter 5 lays out the nine essential program components and associated rationales believed essential to accomplishing the goals of the program. Chapter 6 provides a guide on how recommendations might be implemented in the program's first year. Chapter 7 concludes by presenting the proposed budget necessary for program implementation. Nine pages of references are included; appended materials describe Department of Parks and Recreation preschool programs and chart early childhood program components. (RH)

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TAKE A GIANT STEP

An Equal Start In Education
For All New York City Four-Year-Olds

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Final Report of the
Early Childhood Education Commission

Saul B. Cohen, Chairman
March, 1986

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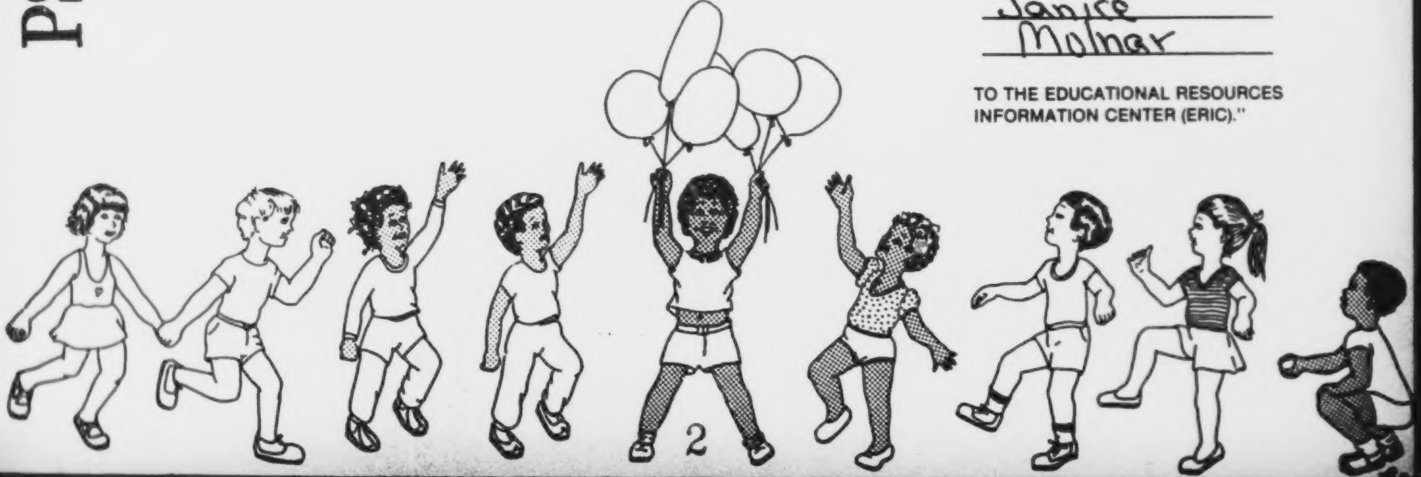

TAKE A GIANT STEP

AN EQUAL START IN EDUCATION FOR ALL NEW YORK CITY FOUR-YEAR-OLDS

FINAL REPORT
OF THE
EARLY CHILDHOOD EDUCATION COMMISSION
SAUL B. COHEN, CHAIRMAN

SUBMITTED TO
MAYOR EDWARD I. KOCH
NEW YORK CITY
MARCH, 1986

EARLY CHILDHOOD EDUCATION COMMISSION

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THE CITY OF NEW YORK
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March 26, 1986

The Hon. Mayor Edward I. Koch
City Hall
New York, New York 10007

Dear Mayor Koch:

On July 3, 1985, you formally created the Early Childhood Education Commission and charged us with recommending to you how to make educational opportunities universally available for four-year-olds in New York City.

We saw our purpose as four-fold: to define the demographic and enrollment patterns of the four-year-old; to analyze the existing administrative structures and program delivery systems which are currently providing programs for four-year-olds; to determine the scope of the needs and capacities which exist in our City for expanded services; and, finally, to recommend to you a viable way to begin to phase-in universally-available educational programs.

In submitting this report, we are aware of some questions which might be raised. The first is, "Can the City afford to take responsibility itself for the cost of the first year without waiting for other partners and only subsequently predicating its contribution on the participation of the State and federal government?"

The answer is that this program is a bold City initiative. The children of New York City cannot wait upon the results of extended negotiations amongst three branches of government. Further, it is not likely that the program will get off the ground unless the City acts boldly.

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Clearly, the City cannot afford to go it alone in the long run. The financial and moral responsibility for the developmental growth of our children rests as heavily upon the State and federal government as it does on the City. Indeed, given the immense and unique social service burden the City of New York assumes, the responsibility of the State to be a partner in this critical initiative is compelling.

The 1986 "Recommendations for Legislative Action for Schools" recommends the funding of pre-kindergarten programs in all school districts in the State with the State's assistance formula. We strongly urge the passage of legislation that will provide a substantial state share. We feel, however, that this action may not take place soon enough to enable the City to institute programs for September of 1986 as proposed. It is for this reason that we have adopted the strategy of City initiative.

The second question is whether, in the face of other pressing priorities, the City can afford a program that calls upon it to invest $32 million the first year and up to $60 million in the fourth year?

The Commission has sought to address this in terms of the cost-effectiveness of such an investment in four-year-olds. An early investment is well worth the cost when compared to remediation and repair. In addition, it should be noted that in the overall scheme of things, the program that we are calling for will, at its maximum, require less of the City's resources than glaring cost overruns in capital construction for one public building.

The third question which might be asked is, "Why is education for four-year-olds more important than additional investments in the schooling of kindergartners or first graders?"

The Commission does not presume to put these age groups in competition for scarce dollars. However, it strongly feels that the four-year-old is at a unique stage developmentally and with this comes cultural and environmental transitions. The pre-kindergarten experience provides a singularly receptive place for assisting the child and the parents in these transitions. Additionally, research indicates that early interventions provide the child with the tools and motivation required for later success in school.

The final question which might be asked is, "Should a phased-in program start out with as many as 10,000 children--cannot the program be initiated with a much smaller number, perhaps in one community school district?"

The answer to this is that the time for further experimentation is long past. The New York State Experimental Prekindergarten program has had 20 years of experience--it is hardly an experiment. Head Start and Day Care have had even longer histories. To unveil a new program to the public in numbers that would be relatively small and would resemble another kind of pilot effort would be a grave disappointment to the many who listened to your clarion call for universally-available education for four-year-olds that will first and foremost tend the needs of 30,000 youngsters who are poor and near poor and do not have such opportunities and then another 10,000 of the rest of the population whose inter-mixing with the others in the great American tradition of public education is our best chance for strengthening the integration of American society at the earliest possible age.

Our recommendations and projections rest on the assumption that there will be, from the start, serious and continuing evaluation and that the results of such evaluation will justify maintaining the program. But, it could and should be asked, "What if such an evaluation turns up findings contrary to expectations?" The question, in this case, contains the answer: you alter the substance and direction of the program--or eliminate it. In short, we have the obligation to conduct evaluation in a way as to give clear answers to issues of public policy and then to act on these answers.

In completing this phase of work, we, the Commission members individually and collectively, reaffirm our belief, which we know you share, in the critical importance of implementing the recommendations contained in this report. It is our earnest hope that you will continue to provide leadership in the arena of early childhood education by encouraging wide dissemination, full discussion and implementation of the recommendations. We feel confident that the materials compiled by the Commission constitute an invaluable resource for the broad range of individuals and groups interested in and concerned about early childhood education issues.

The other Commission members and I sincerely appreciate having had the opportunity to serve the City as members of the Early Childhood Education Commission. It has been a uniquely challenging privilege to chair this Commission, and on behalf of the members of the Commission it is my pleasure to transmit our recommendations.

Cordially,

Saul B. Cohen

Saul B. Cohen
Chairman

SBC:le

THE CITY OF NEW YORK
OFFICE OF THE MAYOR
NEW YORK, N.Y. 10007

July 3, 1985

Dr. Saul Cohen
60 East 42nd Street - Suite 1914
New York, New York 10165

Dear Saul:

I am pleased that you have agreed to be a member of the Commission I have established to recommend to me how best to implement my proposal to phase in public education for all four-year-olds beginning in September of 1986.

As you know, I have appointed you to chair the Commission and I attach a list of the other Commission members and their professional affiliations for your interest. In addition, to provide you with some background for my decision to undertake the early childhood initiative, I attach the statement on all of our education initiatives, including the early childhood program, that I released with my State of the City address on January 30, 1985.

The early childhood program will be a costly and complex undertaking raising profound educational and social policy questions as well as questions of fiscal and administrative feasibility. The basic tasks are to detail the improvements in educational achievement that should be expected from the program and to design a program that is the most cost effective possible. This will require answering important questions concerning expectations such as: Does research indicate that the program would be more effective for specific groups, for example, economically and socially disadvantaged students? What expectations for educational improvement could be expected for different groups of children as a result of such a program? How will we know if such improvements in fact take place as a result of the program? And finally, how would an investment in education for four-year-olds be more cost effective than other educational interventions such as reduced class size?

In addition to asking the Commission to address these underlying issues describing expected results and analyzing cost effectiveness, I am also asking you to provide me with detailed recommendations on how the City should address the following issues.

-Program design. What should be the class size, the number of hours per day, the staffing pattern and the curriculum design? What enrichment services, such as feeding and health programs, parent education programs and transportation services, should be included in the program? And what are the implications of the program for curriculum design, space utilization and school organization of elementary schools, junior high/intermediate schools and high schools, including the possibility that elementary schools should have a kindergarten-through-third grade organization or that high schools should phase out the 12th grade?

-Relationship to existing early childhood programs. What should be the relationship of new educational programs for four-year-olds to the City's day care programs, Head Start programs and pre-kindergarten programs? What is the feasibility and advisability of establishing a multi-sponsored but coherent continuum of early childhood services each with core educational requirements?

-Staffing. How should staff for the expanded programs be recruited, credentialed and trained and what is the feasibility of integrating the diverse early childhood career paths the City now has--each with a different union affiliation, pay scale and training and credentialing requirement--into a unified early childhood career path?

- Space. What will be the space requirements of the program and how can they most feasibly be met in the various communities of the City?

- Fiscal issues. What are the costs of the components of recommended program models? What is the current availability of state and federal funds to meet these costs and what is the best strategy for increasing the state and federal share of program costs?

- Phase-in. What is the most feasible phase-in plan that takes into account the availability of space and staff as well as the time required for program planning and preparation? Should certain groups of children be prioritized for earlier phase in of the program and, if so, on what basis would such a determination be made? It should be understood at the outset that the phase in of the program will also depend on the City's determination of the availability of funds in the context of other program priorities and commitments.

The City has provided funds for the Commission to hire staff as well as to retain consultants to assist in its work. The Commission will need to work closely with the Board of Education as well as with a number of City agencies, most particularly the Office of Management and Budget, the Office of Municipal Labor relations, the Department of City Planning, the Law Department, the Human Resource Administration and the Department of Health. I will ask the Commissioner of each of these agencies to provide you with whatever information or analysis you may need. I have asked Marian Schwarz, as the City's representative to the Commission, to facilitate making these resources available to you.

I would like the Commission to report its recommendations to me by December 1, 1985.

Sincerely,

Edward I. Koch
MAYOR

THE EARLY CHILDHOOD EDUCATION COMMISSION

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Very few commissions complete their work without the support of a host of other people. The Early Childhood Education Commission was certainly no exception. There is always a danger in singling out individuals or groups for acknowledgement--inadvertently some person will be overlooked.

There are four groups of people whom we wish to recognize and thank.

First, the host of the City's citizens who took the time and devoted thoughtful energy to convey to us through letters, phone calls, attendance at our public forums and meetings their deeply held convictions, concerns, wishes and dreams for young children. We have tried to listen carefully to what you have said and to reflect your views. Our work was greatly enriched by this communication with the interested public.

Secondly, we are deeply grateful to the administrators of the Agency for Child Development and the Board of Education for providing rich and timely knowledge, information and insights which helped us to frame our recommendations. Doby Flowers, Deputy Administrator for the Agency for Child Development, and her staff have, at all times, been "on call" to provide much needed information to fill glaring gaps and clarify complex issues. In particular, we would like to acknowledge Heidi Ferrar, Director, Management Analysis and Systems and Joyce B. Fannin, Assistant Deputy Administrator for Head Start, and Judy Perry, Research and Development Analyst, Head Start for their invaluable assistance.

Gordon M. Ambach, Commissioner of the New York State Education Department, long a major advocate of education for four-year-olds, was most generous with his advice and shared his data and experience freely. Bertha Campbell of his office responded to our every need for interpretation and data.

From the day this Commission began its work, Nathan Quinones, Chancellor of the Board of Education of the New York City Public Schools, promised and delivered support. We are particularly indebted to Marjorie McAllister, Director of the Early Childhood Education Unit, and her staff for their ready willingness to respond to our requests.

Commissions, by their very nature, are short-term, and staff are new to City government. Such was the case with some members of this Commission's staff. We appreciate the cooperation of the offices of the City that made our work easier--Office of Management and Budget, Corporation Counsel, Department of City Planning, Department of Health, Office of Municipal Labor Relations, and particularly Dr. Marian Schwarz, the Commission member who represented the Mayor's Office and served as key liaison to many City agencies.

In addition, the various support offices of the City endured our mistakes and answered our endless questions.

Finally, I would like to thank the staff for their outstanding efforts. To Dr. Virginia L. Thompson, in particular, we owe a debt of gratitude for her invaluable suggestions, insights and management of Commission affairs. She has helped all of us to gain an understanding of the challenge and promise of Early Childhood Education.

Saul B. Cohen
March, 1986

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INTRODUCTION

In July of 1985, Mayor Koch appointed this Commission to recommend to him how best to implement his proposal to phase in universally-available pre-school education for four-year-olds beginning in September of 1986. Despite a surge of interest on the part of state and municipal governments in expanding pre-school education, the Mayor's proposal was a bold and radical one. Moreover, at a time of fiscal stringency and numerous conflicting and legitimate claims on the City's resources--housing, improved transportation and more effective law enforcement--it appeared to be an unusual move for the Mayor to call for a new and costly program.

Our several months of investigation into the potential positive benefits of early childhood education have convinced us that the Mayor's proposal is both wise and essential for meeting the pressing educational needs of the City's children and for maintaining and extending the City's recent economic recovery.

The early age at which children begin to fall behind in school; the high cost and still only moderate success of the strategies to turn children's school failure around; the educational needs of children who are entering our schools--

all of these urgent problems make the Mayor's proposal compellingly sensible and cost-effective.

Preventing School Failure

The most troubling feature of our school system today is its high dropout rate. If our schools continue to graduate only 65 percent of their students while adding 30,000 individuals every year to an educational underclass whose members lack a diploma and often the basic educational tools for productive work, New York City's economic renewal will at best become an uphill battle and at worst will end.

Dropping out is usually the result of patterns of school failure that become evident at a surprisingly early age. Sixty percent of the children referred to special education are referred before the end of the third grade. Most of these children never rejoin the mainstream.

In addition, although our schools have developed a plethora of remedial and compensatory programs, their success as measured by standardized tests has been limited. While in 1984-85 a higher proportion than ever before--57 percent--of elementary and junior high school students read at or above grade level, 43 percent did not. And 48,000 of those children reading below grade level were more than 1.5 years behind. Another 8,000 children did not even take the reading test because of their lack of English language skills. Over 4,000 children were held back in the fourth grade because of poor achievement on standardized tests in 1984-85.

The pattern of falling behind becomes even more serious in the higher grades. In the third grade eight percent of the students are more than 1.5 years below grade level in reading, and by the ninth grade this figure soars to 21 percent.

The alarming number of high school dropouts may be the greatest indictment of our school system. The root causes, and the brightest prospects for the amelioration of the dropout tragedy, however, lie at the other end of the educational process--the early years of schooling. We must reach our children before they begin to fail by providing them at the outset of their school careers with the tools, the skills and the motivation for achievement.

Benefits of Early Childhood Education

We are convinced that programs for four-year-olds hold great promise for preventing school failure and promoting educational attainment, especially for those who enter school at an educational disadvantage. Scientific studies and the experiences of teachers, school administrators and parents demonstrate that quality early childhood programs correlate directly and significantly with keeping children at grade level, out of special education and in school until they graduate. We are not talking of marginal effects, but significant ones. Average improvements measured by longitudinal studies are: 38 percent fewer children retained in grade; 58 percent fewer children placed in special education; and 23 percent more children graduated from high school.

How do the programs bring about these results? Not in the way early researchers imagined, which was by increasing I.Q. and achievement on standardized tests as measured immediately upon finishing the program. While these increases may have helped children adjust in their first year in school, they do not account for the dramatic differences in long-term school success between children who have and have not had pre-school. Rather, this success is linked to the development in early childhood of underlying competencies that are only manifested much later.

Specialists stress that the pre-school years are critical for the development of language, logic and the inquiry strategies necessary for discovering how the world works, as well as for the development of social competence and self-confidence. These are not immediately measurable academic skills such as letter recognition or counting proficiency, but they are the skills most necessary for success in school.

Equally important are the health, nutrition and social services provided by successful pre-school programs. If disabilities, impairments and health problems are diagnosed and treated before children begin school, it would remove what, especially for poor children, have been across-the-board educational handicaps. The social services and parent supports of these programs have prevented or ameliorated many of the effects associated with being poor in an urban setting, effects that later turn into educational handicaps. Children who have attended quality early childhood programs enter school healthier, better fed and with parents who are better equipped to support their educational development.

Universal Availability

This Commission believes early childhood education is an essential part of public education. To be consistent with our long-standing political and social commitment to free public education and to racial and ethnic integration, this education should be universally available. However, it is important to note that universal availability does not imply that programs for four-year-olds should be mandatory.

Locally and nationally, most families who can afford pre-school programming for their four-year-olds buy it already, although many do so at enormous sacrifice. It is the poor and near-poor who are far less apt to be in a pre-school educational program unless such programs are publicly available. In New York City, providing universal access to pre-school programs would mean closing the circle so the poor and near-poor can have what most affluent children already have. Not to provide this access for less affluent young children continues to keep them in a kind of double jeopardy--environmentally-caused educational disadvantage and the lack of a pre-school experience--that will even further broaden the chasm between the two.

Universally-available early childhood education programs of quality will not be an inexpensive undertaking. It will cost approximately $2,750 a year for each additional child once the program is fully operational, and we estimate there are 40,000 children who would use these services. This would mean an annual expenditure of approximately $114 million at the completion of a four-year phase-in of 40,000 additional classroom slots.

The City cannot go it alone. Every effort must be made to secure major input of federal and State funds. However, some of the total burden--approximately 50 million or 45 percent in recurring costs as well as a share of start-up costs and capital expenses for the new program in its entirety--must be borne by the City.

The challenge of programs for four-year-olds in New York City is a national as well as a state and local one and a city that already carries a disproportionate burden for serving the social and educational needs of all ages cannot be expected to again disproportionately add to this burden.

Yet we are firmly convinced that an investment in one year of quality pre-school education for the City's four-year-olds is well worth the cost. If $2,750 per young child seems expensive, it pales in significance when compared to as much as $10,000 that can be spent per child on remediation or up to $50,000 that can be spent on special education throughout a child's school life. We believe that, in the long run, investing resources in these programs will result in major reductions in expenditures for special education and remediation, as well as significant reductions in the dropout rate. We are confident that the program will also result in significant human and economic benefits both for the children who participate and for the City as a whole.

Commission Activities

In reaching these conclusions and in addressing the Mayor's charge to the Commission, we undertook a comprehensive investigation of the state of four-year-olds in New York City and the programs in which they are enrolled.

We consulted both locally and nationally with experts in early childhood research and policy development, with administrators of early childhood programs, with key personnel of relevant agencies and with representatives of the local bargaining units of teachers and child care workers. We conducted forums in each of the five boroughs, where scores of parents, teachers, administrators and community leaders turned out to detail the concerns and problems of their communities and programs. We conducted a comprehensive review of the demographics of New York's four-year-olds and of the legislation, regulations and program guidelines that govern early childhood programs.

Finally, we visited a wide variety of early childhood programs throughout the City, observed children engaged in activities and interviewed staff.

Key Findings

The Commission sought to understand the basic demographic data of the City's four-year-olds and their patterns of enrollment in early childhood education programs.

These demographic data revealed that more of the City's four-year-olds have the classic indicators of educational disadvantage--poverty and relative unfamiliarity with the English language--than at any time in the history of the City since World War II.

The City's 100,000 four-year-olds are markedly different from the population of the City, as well as from four-year-olds in the rest of the nation. They are poorer--34 percent live at or below the federal poverty level. They are more apt to live in single-parent families. Almost half live in homes where English is not spoken. Four-year-olds are distributed unevenly across the City and are heavily concentrated in a relatively few community districts. Those four-year-olds who are poor and whose home language is not English are even more tightly concentrated in specific areas of the City.

The Commission next looked at which four-year-olds are enrolled in pre-school programs: how they are divided among the three publicly-funded program delivery systems; and how many are in privately-funded programs, both licensed and unlicensed.[1] The Commission chose to look in depth at only publicly-funded educational programs.

We know that there are at least 48,300 children in early childhood programs in the City--23,800 of them in publicly-funded programs and 24,500 privately funded. On the basis of these data and an assumption that some of the near-poor use privately-funded programs, we estimate that approximately 30,000, or 50 percent, of the 60,000 poor and near-poor four-year-olds are in programs. National and State trends indicate that children of more affluent families are in programs at far higher proportions--possibly as high as 70 percent. We have little reason to doubt this pattern also applies to the City.

The Commission also reviewed the $83 million, three-pronged program delivery system--ACD Day Care and Head Start and Public School Pre-School--already in place in New York City. We were struck both by the diversity and by the underlying commonalities of the more than 650 publicly-funded sites at which four-year-olds attend programs. Despite different histories, administrative structures, funding sources and program guidelines, we found that each system defined excellence in the same way. In addition, each program met the educational and support service criteria we had become convinced were necessary, and did so at surprisingly similar costs per child.

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[1] Enrollment figures of four-year-olds in publicly-funded programs are estimated as follows: ACD Day Care--10,000; ACD Head Start--7,300; Public Schools--5,300; Department of Parks and Recreation--1,200. At least 24,500 children attend privately-funded programs: private, licensed--18,550; private, unlicensed--6,000. Our data on private programs are such that we suspect this number is far lower than the privately-funded program slots that are actually available.

Researchers have stressed that positive outcomes result only when programs are of high quality. Much of our inquiry was designed to identify the essential elements of quality programs. There is near unanimity among researchers, parents, teachers and program operators about what constitutes quality. The nine elements that represent this consensus are listed below.

- A well-developed curriculum supporting cognitive, social, emotional and physical development in an age-appropriate manner;
- Class size of no more than 20 children with two adults;
- Teachers and assistant teachers with early childhood experience and training and access to strong staff development services;
- Indoor and outdoor space of adequate dimensions, furnished with proper play equipment;
- Availability of social services;
- Parent involvement;
- Provision of nutritious food, at least one meal and one snack each day;

- Health, vision, hearing and dental screening and referral to direct health care;
- Systematic monitoring and evaluation.

The Recommendations

The Commission formulated ten recommendations for how the City should implement the Mayor's proposal. These represent our best effort to address the issues raised by the Mayor in his charge to the Commission to address timing, costs and financing, program design and articulation with existing programs.

The recommendations provide for a four-year phase-in that first targets areas with high concentrations of children at risk of failure. This four-year period will allow sufficient time to address staff and space shortages. We specify an administrative structure that builds on the strengths of both the Board of Education and the Agency for Child Development and requires coordination between the two and accountability to the Mayor. We also call for a program design that mirrors components already required by the federal Head Start program and the State Education Department's Experimental Prekindergarten, but that adds strengthened staff development, evaluation and research requirements.

The recommendations call on the City to move toward competitive pay and benefits for all teachers of four-year-olds. Fiscal incentives for the identification and preparation of space are also provided. We recommend a fiscal strategy in which the City bears the burden of the first year's funding, but which by the end of the phase-in period will result in City, State and federal shares of funds that are 35 percent, 38 percent and 27 percent, respectively.

It is our belief that the City and State must continue the rebuilding of the City's elementary and secondary schools that has taken place over the past eight years. The pre-school initiative should not supplant continued investment in grades kindergarten through 12, but should be seen as perhaps the most critical and fiscally sound of all the new education programs the City could support.

The recommendations are listed below.

RECOMMENDATION ONE: Publicly-supported early childhood education programs should be extended to assure universal availability to four-year-olds in New York City.

RECOMMENDATION TWO: Extending publicly-funded programs to assure access by all four-year-olds should be accomplished by a four-year phase-in plan which first targets those neighborhoods with the highest concentrations of four-year-olds at educational risk.

RECOMMENDATION THREE: Expanding publicly-funded programs for four-year-olds should build upon the two existing administrative structures--the Agency for Child Development and the Board of Education--and their delivery systems--the community-based organizations which provide Day Care and Head Start programs and the community school districts which operate school-based pre-kindergarten programs.

RECOMMENDATION FOUR: A Mayorally-appointed office should be created to coordinate, facilitate and oversee the expansion of existing publicly-funded programs for four-year-olds, utilizing the existing administrative structures and their program delivery systems.

RECOMMENDATION FIVE: The expansion of early childhood education programs for four-year-olds should be done with strict adherence to program guidelines that specify minimum standards in nine critical areas.

RECOMMENDATION SIX: A comprehensive strategy should be developed for recruiting, training and retaining a pool of qualified staff for the expanded educational programs for four-year-olds.

RECOMMENDATION SEVEN: An exhaustive search for space which meets the New York City Health Code Regulations should be conducted by the relevant City agencies and coordinated by the Mayoral Office. A special fund should be created for necessary renovation and construction.

RECOMMENDATION EIGHT: A systematic plan for monitoring, evaluation and research should be developed to assure that standards of quality and maximum accountability are maintained.

RECOMMENDATION NINE: Locally-based early childhood centers should be established to assure coordination of services and resource exchange at the local level, thus minimizing costly duplication and increasing cost-effectiveness.

RECOMMENDATION TEN: A fiscal strategy should be developed whereby the City is initiator of the expanded educational programs for four-year-olds, but where all three governmental agencies--City, State and federal--share in the full responsibility for assuring universal availability.

The report that follows is divided into seven chapters. Chapter One presents our ten recommendations, each with a rationale and key supporting data.

In Chapter Two we describe and interpret the national and local research on the outcomes of pre-school education and explain why, in our view, the research supports the Mayor's proposal.

Chapter Three details the demographics and the enrollment patterns of the City's four-year-olds. We lay out where the City's four-year-olds live, their socioeconomic status, the structure of their families, their ethnicity and their home language. We also describe how many of them are enrolled in existing public and private early childhood programs and, as much as possible, break out enrollment patterns by economic status.

Chapter Four provides a description of the three delivery systems that currently provide pre-school educational programs. For each, it details legislative and funding history; a program model; eligibility criteria; funding sources and levels; staff qualifications and training provisions; and monitoring and evaluation provisions.

The fifth chapter lays out the nine essential program components we believe are essential to accomplish the goals of the program and the rationale for each.

The sixth chapter provides a guide to how recommendations might be implemented in the program's first year.

The seventh and final chapter presents the proposed budget necessary for program implementation.

CHAPTER ONE

RECOMMENDATIONS

RECOMMENDATION ONE:

PUBLICLY-SUPPORTED EARLY CHILDHOOD EDUCATION PROGRAMS SHOULD BE EXTENDED TO ASSURE UNIVERSAL AVAILABILITY TO FOUR-YEAR-OLDS IN NEW YORK CITY.

Evidence put forward in the extensive body of academic research and the practice of government agency policies reviewed by the Commission, and in the testimony of scores of State, City and federal government officials, local program administrators, teachers and parents who appeared before the Commission provide compelling justification for the City to extend access to high quality early childhood education to all four-year-olds. Appropriate intervention at this formative stage of development is known to build educational, social and psychological foundations critical to future success in school and in life--foundations that cannot be as effectively built at a later time.

Locally and nationally, parents who can afford to purchase educational programs for their four-year-olds do so. In addition, approximately half of New York City's children who are economically disadvantaged now attend publicly-funded programs. Not included in the above are those who are eligible but for whom there are no slots available, and those who are not income-eligible for free programs but cannot afford to pay. These are the children of the poor and the near poor--the very four-year-olds for whom such programs have been shown to provide the greatest benefit. These are the children who in City schools tend to be caught early in a cycle of school failure that becomes more difficult and more expensive to reverse as each year goes by.

Because of the distribution of New York City's 100,000 four-year-olds across income groups--34,000 below the Federal Poverty Guidelines or receiving public assistance and another 26,000 part of the near poor--and because the majority of New York City's middle- and upper-income families already purchase pre-school education for their four-year-olds--providing universally-available publicly-funded educational programs for four-year-olds is the functional equivalent of providing equal opportunity for access to such programs.

In cost-benefit terms the proposed expansion is more than sound. While the on-going cost of the program recommended in this report is approximately $2,750 per child, the cost of holding back a student in a grade is at least $3,000. The cost of evaluating a child referred to special education because of lack of academic progress is $900, and the provision of special education services can cost anywhere between $2,000 and $5,000 more per year per child. The cycle of academic failure and non-attendance is frequently established in the early grades. Efforts to offset this cycle through remediation, extra counseling and other extraordinary efforts over 10 to 12 school years can add up to ten times the cost of quality educational programming for four-year-olds. Less easily calculable, but far more expensive, is the wasted potential of a young person who leaves school before graduating.

No educational innovation can guarantee that children will succeed in school and adult life, but educational programs for four-year-olds have been researched and analyzed more than perhaps any other single educational program.

An investment in such programs is not merely economically wise; it is a matter of basic equity.

RECOMMENDATION TWO:

EXTENDING PUBLICLY-FUNDED PROGRAMS TO ASSURE ACCESS BY ALL FOUR-YEAR-OLDS SHOULD BE ACCOMPLISHED BY A FOUR-YEAR PHASE-IN PLAN WHICH FIRST TARGETS THOSE NEIGHBORHOODS WITH THE HIGHEST CONCENTRATIONS OF FOUR-YEAR-OLDS AT EDUCATIONAL RISK.

Over three-quarters of the City's 100,000 four-year-olds, an estimated 77,400, are without publicly-funded educational programs. We can project that 40,000 of these children--the great majority either poor or near poor--would enroll in publicly-funded programs if they were available. The Commission believes that the organizational requirements of the program indicate an expansion by increments of 10,000 children per year for the next four years. This phase-in should be structured to first serve children in those Community School Districts with the largest number of four-year-olds considered to be at greatest educational risk.

While long-term cost-effectiveness is a primary argument for expanding programs for four-year-olds, we do not recommend that such an expansion decrease the City's and State's expenditures in primary and secondary schooling. The expansion should be part of the continued rebuilding of our elementary, intermediate and high schools.

Space constraints on the proposed expansion are real. In fact, in several areas of the City with the largest concentrations of unserved four-year-olds, many of them language minority, an expansion of appropriate scale can only occur after a one- to three-year lead period for the identification, preparation and, in some cases, construction of new space. A four-year phase-in will provide the necessary time to accomplish these tasks in an orderly manner and assure services for these unserved areas.

Staffing shortages similarly point to the importance of a four-year phase-in period. There is already a system-wide teacher shortage. For example, Day Care opened the 1985-86 school year with 350 teacher vacancies. Intensive recruitment and training of program staff will be necessary, and a four-year phase-in will allow this to occur.

In addition, a four-year phase-in will provide time to gear up the administrative and training infrastructure needed to support the expansion of high quality programming. Teachers, parents and administrators who were involved in the start-up of the Public School's all-day kindergarten in 1983 repeatedly cautioned the Commission to avoid the harm to children and disruption to schools caused by a large-scale program initiative without adequate supports.

The goal is universal access to publicly-funded educational programs for four-year-olds. Phase-in, by definition, means that some children will be served before others. It is the Commission's belief that the interim requirement of targeting during phase-in should not be done according to social or financial criteria of individual families, but rather by residence within geographic areas designated as containing the highest proportions of four-year-olds who are: unserved in publicly-funded programs; economically at or just above the poverty level; and from homes where English is not spoken.

Once such areas are designated, they will be slated for the first year's programs, with consideration being given to borough representation. New areas should be selected in succeeding years using the same procedure. Such a strategy assures meeting the interim goal of immediately serving a high percentage of those four-year-olds for whom such programs are most necessary. At the same time, because all children residing in selected communities are eligible for programs, universality will be built up school district by school district.

RECOMMENDATION THREE:

EXPANDING PUBLICLY-FUNDED PROGRAMS FOR FOUR-YEAR-OLDS SHOULD BUILD UPON THE TWO EXISTING ADMINISTRATIVE STRUCTURES--THE AGENCY FOR CHILD DEVELOPMENT AND THE BOARD OF EDUCATION--AND THEIR DELIVERY SYSTEMS--THE COMMUNITY BASED ORGANIZATIONS WHICH PROVIDE DAY CARE AND HEAD START PROGRAMS AND THE COMMUNITY SCHOOL DISTRICTS WHICH OPERATE SCHOOL BASED PRE-KINDERGARTEN PROGRAMS.

An overriding goal of these recommendations is to provide the best possible program for each four-year-old. The Agency for Child Development (ACD) and the Board of Education--through Day Care, Head Start and Public School pre-school programs--currently offer public education programs for 22,600 four-year-olds. These agencies collectively have a long history of administering early childhood education programs. Within each agency, exemplary programs are found.

Creating new programs that build upon the capacities and experiences of the three program delivery systems offers more advantages than any other alternative.

Each agency brings to this expansion access to additional space, contacts with potential new staff, training and supervisory capacity, the trust of local communities and a wealth of experience in educating four-year-olds. These are the very resources the City cannot afford to waste if a successful, cost-effective expansion is to take place. Increased coordination and collaboration among the three systems will be essential for successful expansion. To do other than build on existing strengths and resources would be wasteful and unwise.

In addition, parents of four-year-olds should have program options from which to choose. Maintaining and expanding programs within Day Care, Head Start and the Public Schools provides parents with a choice of a variety of environments and program styles. Parents could choose between the programs housed in a Public School building or a community center; between programs operated independently for two-and-one-half to three hours or those integrated with all-day child care; or between those programs where their children would be the youngest in a school building or among the oldest in a day-care facility.

From a fiscal standpoint, use of the existing administrative structures and delivery systems would not jeopardize current funding sources. On the contrary, these structures could be used as a basis to work collaboratively with the federal Department of Health and Human Services, the State Education Department, the State Department of Social Services, as well as with City agencies to find more flexible and creative ways of combining existing funds, as well as to increase funding to support and expand programs.

RECOMMENDATION FOUR:

A MAYORALLY-APPOINTED OFFICE SHOULD BE CREATED TO COORDINATE, FACILITATE AND OVERSEE THE EXPANSION OF EXISTING PUBLICLY-FUNDED PROGRAMS FOR FOUR-YEAR-OLDS, UTILIZING THE EXISTING ADMINISTRATIVE STRUCTURES AND THEIR PROGRAM DELIVERY SYSTEMS.

To provide for planning, implementation and oversight of the expansion of educational programming for four-year-olds, an office within the Mayor's Office is needed to develop a master plan, establish uniform guidelines and assume overall responsibility for the program.

With the full participation of the ACD and the Board of Education, the Office should:

1. Work with the federal Department of Health and Human Services, the State Education Department and the State Department of Social Services to formulate guidelines and minimum standards that can be jointly developed by the federal, State and City governments for expanded and existing programs.
2. Develop a master plan for phase-in, implementation and expansion of programs.
3. Operate a Management Information System (MIS) that covers ACD and the Board of Education programs and provides the City and State with timely and system-wide information on program services.
4. Oversee system-wide evaluation and research.
5. Oversee staff-training efforts.
6. Encourage interagency cooperation among programs for four-year-olds, including systematic

articulation between these various pre-school programs and kindergarten and succeeding early grades.

7. Collaborate with the various branches and agencies of State government in formulating new legislation which would support universal education for four-year-olds.

Although the Office itself should be small in size, it must be vested with the authority necessary to accomplish interagency cooperation and collaboration. It must be capable of monitoring research, evaluation and MIS activities, providing leadership in policy development and providing regular documentation to the Mayor on the status of program implementation.

RECOMMENDATION FIVE:

THE EXPANSION OF EARLY CHILDHOOD EDUCATION PROGRAMS FOR FOUR-YEAR-OLDS SHOULD BE DONE WITH STRICT ADHERENCE TO PROGRAM GUIDELINES THAT SPECIFY MINIMUM STANDARDS IN NINE CRITICAL AREAS.

Both researchers and practitioners emphasize that the short- and long-range benefits which result from programs for four-year-olds is dependent upon provision of high quality programs. The Commission has identified nine components that are requisite for high quality programs. Strict adherence to these should be required of all expanded programs.

The established program guidelines that govern the City's Day Care, Head Start and Public School Pre-Kindergarten Programs already contain elements of these standards. Implementation of the recommended expansion must be done in adherence to these standards, and monitoring and evaluation criteria must be designed to reflect them.

1. Each program will select from the range of validated curriculum approaches the one most suited to the needs of the children in their program. The curriculum must have articulated goals and objectives which indicate that the activities of the program are appropriate to a four-year-old's social, cultural, physical and intellectual development, including bilingual education where appropriate.

2. The group enrollment size for a program must not exceed 20, with an adult/child ratio of one teacher and one assistant for each 20 children.

3. Staff of the programs must meet the standard qualifications specified in the New York City Health Code. Because the issues of staff qualifications and staff development are so central to educational programs for four-year-olds, they are discussed in more detail in Recommendation Six.

4. The space used for programs must meet or exceed the requirements of the New York City Health Code. Both the indoor and outdoor environments must be safe and clean.

5. Support services must, at a minimum, include home visits and, when required, follow-up referral to social service or health agencies. The equivalent of a family assistant or social worker will be required for every 80 children.

6. Opportunities for extensive parental involvement must be provided. Standards for minimum levels of participation should be set to ensure parents the opportunity to be involved in their children's education through such strategies as: observing in the classroom; volunteering in the classroom; being employed in the program; participating in meetings and study circles; and participating in conferences on child-rearing.

7. The nutrition component of the program must include meals and snacks, as recommended by the Child Care Food Program of the USDA. In addition, regulations of the New York City Health Code pertaining to the storage and preparation of food should be met. Information and instruction about nutrition should be an integral part of the curriculum for children as well as for parents.

8. A health component for periodic health supervision/maintenance must meet the guidelines of the New York City Child Health Assessment Program (CHAP) and the American Academy of Pediatrics, which require arrangements for regular health visits, immunizations and screening (hearing, dental, lead, anemia), and developmental assessment and parental guidance on health-related issues.

9. Plans for systematic monitoring and evaluation must be developed to assure that standards of quality and effectiveness are being met. Evaluation criteria are discussed in more detail in Recommendation Eight.

Additionally, programs must be integrated with what a child can be expected to experience in kindergarten and the first and second grades. Such continuity involves both curricular coordination and the transmission to teaching and support staff of the child's higher grades of what is known about the child as a result of the various services that have been provided in the program for four-year-olds.

RECOMMENDATION SIX:

A COMPREHENSIVE STRATEGY SHOULD BE DEVELOPED FOR RECRUITING, TRAINING AND RETAINING A POOL OF QUALIFIED STAFF FOR THE EXPANDED EDUCATIONAL PROGRAMS FOR FOUR-YEAR-OLDS.

The development and maintenance of high quality educational programs for four-year-olds is dependent upon the availability of committed and qualified staff who are provided opportunities for on-going professional development and advancement. Testimony given to the Commission as well as numerous research findings indicate that quality staffing is the single most important element in an early childhood education program, and that training specific to early childhood education is that component of staffing most related to positive outcomes for children.

Establishing a uniform set of professional credentials for staff who will work with children and their families in these programs is a critical first step. All professionals who teach in the new programs must meet the standards as specified in Section 47.09 of the New York City Health Code (enacted in 1959 and amended to June 30, 1973). Likewise, all assistant teachers/paraprofessionals must meet the City Health Code standards. In addition to requiring this standard for teachers in the expanded programs, the Commission urges compliance with these standards by all teachers of young children in current publicly-funded programs.

In addition to teachers, assistant teachers and family workers, there are a number of other adults who have frequent contact with young children. All aides and others who cook, maintain and service the facilities and perform secretarial and bookkeeping functions are important--not just to the operation of the program, but as care givers for children. All of these staff must be carefully screened and included in specific portions of on-going staff development opportunities. This will increase their understanding of their role as a part of a team of adults who create the total environment for a child.

Expansion of the three publicly-funded delivery systems depends upon recruiting and retaining an adequate supply of qualified staff. Current teacher vacancies in Head Start and Day Care will only be exacerbated as educational programs are expanded. The Board of Education has experienced little difficulty in recruiting sufficient staff for prekindergarten programs. One reason for the discrepancy between the Board of Education's programs and the ACD programs has been the lack of parity of pay and benefits for teachers and assistant teachers in these programs. Building a coordinated early childhood education delivery system in New York City, with uniform standards and program guidelines (including staff qualifications), will be greatly hindered unless competitive salaries and benefits are available. While resolution of this issue is outside the scope of this Commission, we recommend that the City accord high priority to solving the issues of competitiveness and comparability.

A society that has recognized the magnitude of today's educational crisis and the role of early childhood education in its solution must be prepared to reward the teaching profession with appropriate compensation. The City has begun to do so in the Public Schools this year with the new teacher contracts. This recognition must be extended to all who work in early childhood education programs.

In a city as rich in language and cultural diversity and talent as New York City, a collaborative effort is needed to develop and use creative recruitment strategies so that program staff reflect this variety. An intensive recruitment effort will be required to attract quality staff. ACD and the Board of Education currently have programs to attract new professionals. These include school tuition programs and career advancement through on-the-job training. Additional strategies should include:

- Active recruitment programs at both high school and college level to attract young people to the early childhood program;
- Use of high school and college internship and cooperative education programs to encourage entry into the field as assistant teachers and paraprofessionals.

Lack of qualified linguistically diverse staff has been described by administration, teachers and parents as a near crisis. Head Start has been particularly successful in recruiting parents as paraprofessionals and aides. The approach they use has strong advantages because it attracts members of the communities who reflect the language and cultural diversity of their children. A concerted strategy must be mounted to recruit and train linguistically and culturally diverse individuals and to provide incentives so that they are early childhood specialists as well as bilingual educators.

Creating and retaining a pool of qualified staff requires on-going staff development efforts. In existing programs, varying amounts of pre-service training are provided, ranging from none to a full month each year. For on-going staff development, the range is from sporadic to one day a week, with one day a month most typical.

Personnel in these new programs should be required to participate in pre-service start-up training as well as on-going in-service training. Minimum standards for these services should be determined by the Mayorally-appointed Office, using the experience developed by current delivery systems, local universities and other training institutions. Through the coordination efforts of the Office, it is anticipated that all teachers in publicly-funded programs for four-year-olds will eventually be able to participate in these training programs.

RECOMMENDATION SEVEN:

AN EXHAUSTIVE SEARCH FOR SPACE WHICH MEETS THE NEW YORK CITY HEALTH CODE REGULATIONS SHOULD BE CONDUCTED BY THE RELEVANT CITY AGENCIES AND COORDINATED BY THE MAYORAL OFFICE. A SPECIAL FUND SHOULD BE CREATED FOR NECESSARY RENOVATION AND CONSTRUCTION.

In New York City, space for new early childhood programs is not universally available. Some geographic areas, because of demographic shifts, have excess space; in other areas, space can only be provided through construction of new buildings or renovation of existing ones.

All programs must meet the New York City Health Code regarding adequacy of space, and must be barrier-free to ensure their accessibility to handicapped children.

There is a need for targeted funding to assure appropriate and adequate space for the new programs. The Mayorally-appointed Office, with the full participation of ACD and the Board of Education, should coordinate and centralize an exhaustive canvasing of targeted neighborhoods to determine the availability of traditional and non-traditional space. This effort should include the City of New York's Department of City Planning and Department of Housing Preservation and Development, the Board of Education's Division of Buildings, ACD and those other agencies with possible access to usable space.

A specified pool of money should be set aside for renovating the needed space. Programs applying for funds under this initiative will be required to document their space requirements specifically and to show how they expect to address them. Where programs clearly require financial assistance to assure adequacy, they can apply for the targeted monies for the purpose of leasing or financing minor renovations. In extreme cases, where no space is available for needed programs, the sponsoring administrative agency (ACD or Board of Education) should be able to obtain capital budget funds for construction. The three existing program delivery systems now have budgetary provision for space renovation. Whatever additional funds are necessary and available through this proposed initiative should supplement State and federal funds in the most cost-effective manner possible that results in adequate and appropriate space. A potential benefit of a coordinated effort between ACD and the Board of Education is space sharing for programs.

RECOMMENDATION EIGHT:

A SYSTEMATIC PLAN FOR MONITORING, EVALUATION AND RESEARCH SHOULD BE DEVELOPED TO ASSURE THAT STANDARDS OF QUALITY AND MAXIMUM ACCOUNTABILITY ARE MAINTAINED.

Program quality and degree of impact can only be determined by conducting thorough, on-going evaluation. Scarcity of resources and competition over available funds is not new to New York City. These realities, in turn, place powerful demands on administrative agencies for accountability--and rightly so.

To address the demands for accountability, to assure that established uniform standards of quality are maintained and to measure program effects on students and parents, a systematic evaluation plan should be developed. Elements of the evaluation should include:

- A system for monitoring programs' compliance with established standards. ACD and the Board Of Education, working with the Mayoral Office, will agree on the categories of information to be collected. The latter should be responsible for developing a Management Information System, building on the one currently under development by ACD. The system would be field tested and refined to collect, store, analyze and assess dimensions of program cost-effectiveness.
- Formative evaluation will be carried out to provide feedback to program implementers. Day Care, Head Start and Public School

Pre-Kindergarten have established procedures for evaluation which will be used as a base for the design of uniform evaluation procedures. Programs will be encouraged to use a range of evaluation instruments, not merely standardized tests.

- Summative evaluation will be designed to examine individual program impact and progress over a two- to three-year period of time. In addition, evaluation will be done to assess the degree to which coordination and collaboration among ACD, the Board of Education and the Mayoral Office has occurred.
- Research--A specified pool of money should be set aside to sub-contract with child development and pre-school researchers in universities to conduct basic and applied research in areas such as: the nature of family/pre-school linkages and pre-school/school linkages; the specific developmental and programmatic needs of particular populations of children at risk; parents' expectations of and roles in early childhood education; and the psychological and social impact on children from culturally and linguistically diverse backgrounds making the transition from home to group settings.

RECOMMENDATION NINE:

LOCALLY-BASED EARLY CHILDHOOD CENTERS SHOULD BE ESTABLISHED TO ASSURE COORDINATION OF SERVICES AND RESOURCE EXCHANGE AT THE LOCAL LEVEL, THUS MINIMIZING COSTLY DUPLICATION AND INCREASING COST-EFFECTIVENESS.

At the public forums and meetings, it became clear to the Commission that there is a genuine desire and need to build collaborative and supportive relationships among the three systems which provide publicly-funded educational programs for four-year-olds. Currently, however, there is no vehicle to build any systematic collaborative relationship.

There are considerable obstacles to building collaborative relationships--competition for scarce material and human resources, funding requirements and the like. Some of these are so great that only a shared sense of the enormity of the challenges facing our City regarding the lives of young children--driven by a keen awareness of the consequences of inaction--will make collaborative planning feasible.

Each of the current delivery systems has limited resources for staff development, comprehensive programs for parents, evaluation and research. Often programs in a geographical area direct their resources in similar ways, while leaving gaps in others.

The development of locally-based Early Childhood Centers would provide mechanisms to coordinate activities and services, as well as an opportunity for collegial exchange of ideas and experiences. These Centers would not provide direct services to children. They would promote services in such areas as:

- Coordinated staff development and training;
- Exchange of ideas on curricula development, utilizing the expertise of experienced teachers and administrators within the community, thus minimizing costly use of outside "experts";
- Coordinated resource and referral system for parents;
- Collaborative projects of local interest which include the community-at-large, business and industry, Day Care, Head Start and Public Schools. An example of such a project might be an after-school care program or a specific parent education program.

In areas such as the above, the Centers could avoid costly duplication and improve quality.

Acknowledging that this type of collaboration can work only if it is a voluntary, grass-roots effort, the Mayoral Office will encourage, with start-up funds, the development of locally-based collaborative mechanisms. One of the strategies which holds a great deal of promise is the establishment of Early Childhood Centers from all publicly-supported providers of programs for pre-kindergarten to grade two. The geographic boundaries of these Centers cannot be determined a priori--providers can determine the partnerships that will best serve their local needs. A group of providers will come together and submit a joint proposal for the development of the Center. A plan will include the Center's location, short- and long-range outcomes to be gained from collaboration, staff and services.

A distinct advantage would be the building of a system of articulation between and across programs, and the creation of a community stake in the total enterprise of education for young children.

Development of locally-based collaborative projects should not be left to chance. There must be sustained support to develop such projects, and the Early Childhood Centers represent the vehicles for such support.

RECOMMENDATION TEN

A FISCAL STRATEGY SHOULD BE DEVELOPED WHEREBY THE CITY IS INITIATOR OF THE EXPANDED EDUCATIONAL PROGRAMS FOR FOUR-YEAR-OLDS, BUT WHERE ALL THREE GOVERNMENT AGENCIES--CITY, STATE AND FEDERAL--SHARE IN THE FULL RESPONSIBILITY FOR ASSURING UNIVERSAL AVAILABILITY.

At the present time in New York City, 22,600 four-year-olds participate in publicly-funded educational programs at a cost of approximately $83 million. These programs are supported through a combination of federal, State and City funds.[1]

Sixty-three percent of all monies for pre-school educational programs in New York City now come from the federal government. It funds 100 percent of Head Start, 57 percent of ACD's Day Care and 11 percent of the Board of Education's pre-kindergarten programs.

New York State contributes 18 percent of the present revenues for publicly-funded programs for four-year-olds in the City. These funds support 13 percent of the City's publicly-funded Day Care program costs and 75 percent of the Public Schools' pre-school costs.

The City's share of the total revenues for current publicly-funded programs for four-year-olds is 19 percent.

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[1] These figures do not include in-cash or in-kind contributions made by the agencies, nor do they include the cost of the Department of Parks and Recreation Programs.

Of this, the City currently funds 30 percent of the Day Care and 14 percent of the Public Schools' pre-school programs.

The Commission has recommended that publicly-funded educational programs should be universally-available for the City's four-year-olds. It is estimated that approximately 40,000 more children would enroll in programs if they were available.

In addition, the Commission has identified the elements of high quality programs, has recommended that they must be mandated and proposes that they be financially supported in this proposed expansion. No early childhood education program is worth implementing unless that program provides a quality education. Quality, however, costs.

To assure sufficient monies for expanding the accessibility of publicly-funded programs, the Commission recommends $2,700 per child for classroom operation and approximately $50 per child in program support costs for a total of $2,750. For each additional 10,000 children, an average of $550 per child will be budgeted for start-up costs, bringing the total to $3,300. These continuation classroom costs are comparable to current Head Start and New York State Experimental Prekindergarten budgets. The cost of providing programs for 10,000 children in Year One would be $33 million. Monies need to be budgeted to pay for the educational component of Day Care which is paid by parent fees. If educational programs are to be universally-available, no parent whose child is enrolled in Day Care should have to pay a fee for the three-hour segment of the day considered educational. The Commission recommends that the City assume this cost.

It is expected that capital renovation costs of $25,000 per classroom will be needed for many of the 250 new classrooms. The total cost for Year Four, by which time phase-in is scheduled for completion, would be $114 million in constant 1986 dollars.

Where should the money come from?

Expanding the availability of publicly-funded programs for four-year-olds will require continued and increased support from all sources of funding. While the Commission believes that the federal and State governments ought to pick up the lion's share of the costs of this new initiative, we also recognize that this cannot be guaranteed. Gramm-Rudman is now restricting Congress, and legislative modification of the State aid formula to include four-year-olds may take time.

The fact remains--New York City must increase the number of children enrolled in publicly-funded programs by 10,000 in 1986 and for each of the next three years until there are 40,000 new places are available. To launch this historic initiative, the City should lead the way and assume the full share of the first year start-up costs. The Commission, recognizing the existence of other legitimate claims on the City's limited budget resources, realizes that this is only a transitional measure until appropriate legislation is enacted that will enable the State to take on its shared responsibility and until various alternative avenues are explored.

The proposed strategy is as follows. In Year One, the City would commit to finance the full $32 million costs of the program while continuing to carry its current share of the costs of Day Care and Public School pre-school programs.

In each of Years Two through Four, the City would continue to commit to finance the $32 million classroom costs necessary to fund the first year's expansion plus 25 percent of the subsequent expansion costs.

For the second year of phase-in, the Commission recommends that the City request that the federal government continue to provide no less than the current level of support plus assume the program support costs. Further, the Commission anticipates that the State will have enacted legislation enabling it to increase its support for early education programs.

The reasons the Commission recommends that the City fully finance the 10,000 new openings in the first and succeeding years are two-fold. First, in Year One, under the proposed phase-in plan, early childhood programs in the poorest, most underserved communities will get priority. From the standpoint of equity, these communities have the greatest need and the City has the greatest obligation to serve them. Expansion in the poorest, least served neighborhoods cannot be delayed and, in fact, should be guaranteed.

Second, the very implementation of Year One of the phase-in may capture the nation's imagination thus encouraging increased federal and State support. The fact of the City's demonstrated commitment, as evidenced by assuming full responsibility in the program's first year, the success of the program and the political support that such a program generates among those served and those waiting to be served, would fuel the momentum for State legislators to put pressure at the federal and State level for the financial assistance needed to permit full expansion.

CHAPTER TWO

THE EFFECTS OF EARLY CHILDHOOD EDUCATION: A REVIEW OF THE RESEARCH

The Commission has carefully reviewed the existing scientific studies evaluating the effects of early childhood education. These studies demonstrate that early childhood education has substantial positive benefits on the long-term educational success of its graduates. Longitudinal studies, which have tracked children from the completion of a pre-school program through their elementary and secondary school years, clearly indicate that these programs promote the abilities and attitudes that underlie learning and foster more positive motivation toward school. These are factors which positively influence school performance. Children who have attended early childhood programs are less likely to be retained in grade or placed in special education programs, and are more likely to complete high school than their peers who have not attended such programs.

The value of early childhood education has not been without controversy within the academic community. Most often the subject of debate has been the outcome measure that should be selected to establish program impact. The first studies, conducted in the 1960s and 1970s, concentrated on measuring the benefits of pre-school programs through standardized intelligence and achievement tests given immediately or shortly after program participation. These studies found that while most early childhood programs resulted in strong gains in I.Q. and achievement immediately following program involvement, these gains appeared to "wash out" by the early elementary school years.[1] However, these early studies have been sharply criticized due to their methodological flaws.[2] They examined too narrow a range of behaviors, focusing almost exclusively on cognitive gains, and allegedly reflected cultural bias.[3] They also failed to follow children beyond the early elementary school years.

Moreover, the results of standardized assessments were in marked contradiction to what teachers and parents were observing. For example, in 1973, the Day Care Council of New York conducted a study of 536 low-income Black children from central Brooklyn who had attended day care or other pre-school programs, and 192 children from similar backgrounds who had no organized, on-going pre-school experience. (The pre-school programs included both licensed and unlicensed day care centers as well as Head Start, and Public School half-day programs.) Through the third grade, children who had attended Head Start, Public School pre-kindergarten, or licensed day care centers were more likely to be enrolled in classes of higher-achieving students during all three grades, to receive more positive teacher comments and to read at grade level in grades two and three than children who had not been in early childhood programs or who had attended unlicensed programs.[4] This is consistent with other studies which, through classroom observations and teacher reports, have found pre-school graduates to be more inquisitive, more self-confident and more self-motivated than children who lacked such an experience.[5]

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[1] Westinghouse Learning Corporation for Federal Scientific and Technical Information, The Impact of Head Start: An Evaluation of Head Start on Children's Cognitive Growth and Affective Development, 1969; Urie Bronfenbrenner, A Report on Longitudinal Evaluations of Preschool Programs: Vol. 2. Is Early Intervention Effective?, 1974.

[2] For example, the Westinghouse evaluation was severely criticized on methodological grounds, e.g., it used a post-test design, meaning that there were no pre-test scores to use as baseline for growth, thus making post-test data of minimal significance; children in the comparison group, matched for age and sex with the experimental group, were from more socioeconomically-advantaged families; and a restricted range of outcome variables was used, thus limiting the range of potentially useful comparisons. In fact, a later analysis which attempted to correct for socioeconomic status concluded that Head Start was effective for the most disadvantaged children. (Martin S. Smith and Joan S. Bissell, "Report Analysis: The Impact of Head Start," Harvard Educational Review, 1970.)

[3] Urie Bronfenbrenner, The Ecology of Human Development, 1979; Edward Zigler and Penelope K. Trickett, "I.Q., Social Competence, and Evaluation of Early Childhood Education Programs," American Psychologist, 1978.

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[4] John R. Dill, A Study of the Comparative School Achievement of Day Care Graduates, 1973.

[5] Research Triangle Institute, Final Report: A Report of Aspects of Child Development of the Participants in Full-Year 1967-68 and 1968-69 Programs, 1972; Lawrence J. Schweinhart and David P. Weikart, "The Effects of the Perry Preschool Program on Youths Through Age 15: A Summary" in the Consortium for Longitudinal Studies, As the Twig is Bent...Lasting Effects of Preschool Programs, 1983.

LONG-TERM BENEFITS OF EARLY CHILDHOOD EDUCATION

It wasn't until research began to follow former pre-school participants into their later years that pre-school program benefits became apparent. Those studies that have tracked children for more than three years after their participation have uniformly found early childhood programs to have been of significant benefit to later school success.

The most comprehensive investigation of long-term effects was conducted by the Consortium for Longitudinal Studies.[6] This was a collaborative effort by independent early childhood researchers who pooled and re-analyzed original data from 11 different high quality early intervention programs for low-income children considered potentially at-risk of school failure. These programs were conducted during the 1960s and 1970s. The Consortium gathered follow-up data on program participants and comparison/control group members in 1976 and again in 1980, and statistically pooled the results.

The results tell a different story than those which reported "wash out" in the early grades. Consistent with other research, there were no differences between pre-school and non-pre-school groups on I.Q. by the middle elementary grades. However, there was evidence that the same pre-school graduates who did not maintain their I.Q. advantages scored better on reading achievement tests through the third grade and better on math achievement tests through the fifth grade than same-age peers who did not attend a pre-school program. One of the Consortium studies, the evaluation of the Perry Preschool Project, found that as the elementary and middle-grade years advanced, the performance differences between former pre-school and control students increased until differences were highly significant statistically.[7] Had the study been terminated earlier, the "final" outcomes would have been interpreted quite differently.[8]

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[6] Consortium for Longitudinal Studies, As the Twig is Bent...Lasting Effects of Preschool Programs, 1983; Richard B. Darlington, "Consortium for Longitudinal Studies," Educational Evaluation and Policy Analysis, 1981; Irving Lazar and Richard B. Darlington, "Lasting Effects of Early Education: A Report from the Consortium for Longitudinal Studies," Monographs of the Society for Research in Child Development, 1982.

In addition to using standardized tests as outcome measures, the Consortium study investigated "actual school performance." A measure of school failure/success was developed that focused on grade retention and assignment to special education. Progression through the system was viewed "as a measure of the children's competence in adapting to the situational demands of their schools."[9]

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[7] Lawrence J. Schweinhart and David P. Weikart, "Young Children Grow Up: The Effects of the Perry Preschool Program on Youths through Age 15," Monograph of the High/Scope Educational Research Foundation, 1980.

[8] A study conducted in the Durham (North Carolina) County Public Schools of children in kindergarten through grade 5 also demonstrated increased effects over time on reading achievement test scores, favoring children who had attended pre-school. Significant results were preceded by an assessment of no differences when achievement was initially measured in first grade. Charles W. Creech, The Relationship between Preschool Experiences and Reading Achievement: A Five Year Follow-up Study, 1982.

Results were dramatic. At the seventh-grade level, for example, across eight of the Consortium projects,[10] the average rates of both special education placement and grade retention among former pre-school participants was significantly lower than for non-pre-school control students--who at the onset were judged to be equally or even slightly less at-risk for school failure. Control students were more than twice as likely to be assigned to special education classes than students who had attended early childhood programs. They were also one-and-a-half times as likely to repeat a grade.[11]

Together, the two school performance indicators comprised what was called a composite "school competence variable." Systematic analyses of school competence on a year-by-year basis demonstrated substantial and significant program effects that increased over time throughout elementary and junior high school. The authors concluded that

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[9] The Consortium for Longitudinal Studies.

[10] Eight was the largest number of projects that followed up their subjects through the seventh grade.

[11] The average rate of placement in special education was 14.5 percent for program children as compared with 34.9 percent for control children. The average rate of retention was 19.8 percent in the program group and 32.0 percent in the control group.

"early education significantly improved the ability of low-income children to meet the schools' requirements for adequate performance, as reflected in reduced rates of assignment to special education and retention in grade."[12]

Six studies known to the Commission have followed former pre-school participants up through high school graduation.[13] Across all six projects, high school completion rates (including attainment of the high school equivalency degree) for pre-school and comparison groups ranged from 33 percent to 68 percent. Pre-school graduates were significantly more likely to complete high school (65 percent) than non-pre-school participants (52 percent).

Two studies collected data on teenage pregnancy. One found differences in rates of pregnancy between pre-school and comparison groups.[14] The other found that after pregnancy, young women who had attended pre-school were significantly more likely to return to school than those who had not.[15]

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[12] Lazar and Darlington.

[13] Five (Beller, Deutsch, Gray, Karnes, Weikart) are Consortium members. They are all summarized in the Consortium for Longitudinal Studies, As the Twig is Bent...Lasting Effects of Preschool Programs, 1983. Deutsch was analyzed separately; Martin Deutsch, Theresa J. Jordon and Cynthia P. Deutsch, Long Term Effects of Early Intervention: Summary of Selected Findings, 1985. The sixth was a Head Start Study; E. Monroe and M. S. McDonald, Follow-Up Study of the 1966 Head Start Program, Rome City Schools, Rome, Georgia, 1983.

[14] Berrueta-Clement, et al., "Changed Lives: The Effects of the Perry Preschool Program on Youths Through Age 19," Monographs of the High/Scope Educational Research Foundation, 1984.

Two studies tracked employment patterns. One interviewed young people at age 19[16] and the second at age 22.[17] Both found significantly higher rates of employment for those who had attended pre-school. These findings are particularly impressive, since some of the former pre-school attendees had gone on to college and so were not yet participating in the workforce.

It appears that early conclusions about the long-term impact of pre-school programs were erroneous. The strong, positive findings reported above require that effectiveness measures take into account a range of possible processes underlying program impact. Clearly, the long-term impact is not on I.Q.; rather it is on the acquisition of underlying "school-relevant skills." The research community has begun to realize that the important functions to be evaluated in a pre-school program are underlying "habits of mind"--dispositions to learn--to question, to listen, to persevere, not the acquisition of discrete pieces of information such as the sound of the letter "b" or rote ability to count to ten.[18]

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[15] Susan Gray, et al., "The Early Training Project: 1962-1980," in the Consortium for Longitudinal Studies, As the Twig Is Bent...Lasting Effects of Preschool Programs, 1983.

[16] Berrueta-Clement, et al.

[17] Deutsch, et al.

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Those programs are important because they raised children's motivation to succeed, not because they raised I.Q.s. Ironically, the first critics of early childhood intervention--who emphasized programs' failure to achieve significant lasting increases in I.Q., claiming that high post-program gains were due to motivational factors--seem to have been right after all.[19] The essential ingredient of any early education program appears to be a climate that fosters the development of the disposition to learn, which in turn creates its own positive spiral of motivation.[20] Lazar and Darlington speculated on the mechanisms underlying early education's effects on low-income children:

> Many factors influence and are influenced by school performance, including children's ability, their level of motivation, teacher's expectations and treatment, and children's self-esteem and feelings of autonomy and control. It is possible that all these mechanisms tended to operate positively. Perhaps early education taught the children some concrete cognitive skills and also exposed them to some school-relevant non-cognitive

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[18] Lilian G. Katz, "Dispositions in Early Childhood Education," ERIC/EECE Bulletin, 1985.

[19] Edward Zigler and Earl C. Butterfield, "Motivational Aspects of Changes in I.Q. Test Performance of Culturally Deprived Nursery School Children," Child Development, 1968.

[20] Lilian G. Katz, Early Childhood Education Commission Program Task Force Meeting, October 18, 1985.

> skills such as attentiveness to teachers, ability to follow instructions, and task perseverance. When the children entered first grade, they had positive attitudes toward classroom activities, were able to adapt to classroom procedures, and were able to learn and do the schoolwork. The public school experience, in short, was also positive. The children's positive attitudes toward school were reinforced; they felt competent. In all probability, their teachers identified them as competent and treated them as such. Once set in motion, success tended to breed success, resulting in the program/control differences in school performance.[21]

These research studies strongly indicate that quality early childhood programs can yield real benefits. The practical answers research can provide, however, are limited, and it is in the nature of such social science research that it cannot be conclusive. For example, little recent research has been done with a middle-class sample as its focus. Studies cited in this review have been of publicly-funded or private, grant-supported programs with public accountability functions to fulfill. They have, as a result, made on-going measurement and assessment an integral piece of their program designs. Programs for the middle class--which are primarily supported by tuition--do not have such a mandate for accountability. Evaluations are not systematically conducted, leaving little data for comparisons.

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[21] Lazar and Darlington.

But we do know that more affluent families put a premium on pre-kindergarten and kindergarten programs. It is noteworthy that nationally, for families with annual incomes below $10,000, pre-school enrollment of their four-year-old children is only 38 percent; it is 63 percent for families with incomes above $20,000.[22]

NEW YORK CITY RESEARCH

What can be expected in New York City from a pre-school commitment? Research conducted in New York City is consistent with that described above. A pre-school experience has measurable benefits on children's progress through school and beyond. In terms of immediate benefits, a recent study of kindergarten children in the New York City Public Schools suggests that pre-school experience has a significant positive impact on school-readiness skills. An analysis of the Fall, 1983 Chapter 53 screening results[23] indicated that although the overwhelming majority of incoming kindergartners possessed what are considered good and even strong readiness skills, in general, students with pre-school experience scored significantly higher than students without pre-school experience.[24]

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[22] Milton Chorvinsky, Preprimary Enrollment 1980, 1982.

[23] To comply with New York State Law (Chapter 53, L. 1980), the New York City Public Schools use the Brigance K & 1 Screen (Curriculum Associates, Inc., 1983) to measure students' school-readiness skills. The Brigance is an individually administered, criterion-referenced instrument which measures a broad cross-section of skills considered predictive of success in kindergarten and first grade. Tasks include a personal data response, color recognition, picture vocabulary, rote counting, identification of body parts, receptive language, numeral comprehension and

(Footnote Continued)

The Day Care Council study, cited earlier, documented the progress through the third grade of economically-disadvantaged students with and without pre-school backgrounds. Those children who had the benefit of a pre-school experience were more likely to be enrolled in classes of higher-achieving students during all three grades, to receive more positive teacher comments and to read at grade level than children who did not.

There is also strong evidence that longitudinal benefits are realized by children growing up in New York City. Two of the Consortium for Longitudinal Studies projects were New York City projects--the Harlem Study, directed by Francis Palmer of the Harlem Research Center, and the Institute for Developmental Studies Program, directed by Martin and Cynthia Deutsch of New York University. The Harlem Study contributed some of the strongest results to the Consortium's analyses of the differential rates of grade

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(Footnote Continued)
printing. An expressive language section has been added by the New York City Public Schools.

[24] Unpublished data, based on research conducted within the New York City Public Schools.

retention and assignment to special education. The Deutsches are among the few to have tracked high school graduation rates and employment in early adulthood--both of which are significantly related to high quality intervention efforts in early childhood. They are continuing to follow up their former program participants.

CONCLUSION

From its review of the literature, the Commission concludes that later school and life success for low-income children considered potentially at-risk of school failure is positively influenced by a beginning that is rooted in a high quality early childhood experience.

In his mandate, the Mayor asked the Commission to look at how the results of research apply to the population and needs of New York City. Overall, a high level of confidence can be placed in the generalizability of the majority of research findings to New York City's population. Close to half of the children entering public school kindergarten are from homes where English is not spoken. An estimated one-third of our four-year-olds are living in families who are on public assistance or who have incomes below poverty. These are the types of children for whom there is strong evidence that pre-school makes a difference in school and later success.

Educational programs for four-year-olds have been researched and analyzed more than perhaps any other single program. No educational innovation can guarantee that children will succeed in school and adult life. However, the quality of the longitudinal early intervention research cited here sets it apart from most. The use of an experimental design--which, to every extent possible, compares groups alike in all aspects except one--lends the weight of scientific credibility to the first-grade Public School teacher's anecdotal observation that, "Yes, you can pick them out right away, the ones who went to pre-school--they're more ready to learn."

We know too well the costs--both in public dollars and individual productivity--when a youngster is held back or assigned to a special education program. Less easily calculable, but far more expensive, is the wasted potential of a young person who leaves school before graduating. An investment in universally-available publicly-supported early childhood education for four-year-olds appears to be a cost-effective one.

CHAPTER THREE

DEMOGRAPHIC AND ENROLLMENT PATTERNS OF NEW YORK CITY'S FOUR-YEAR-OLDS

A four-year-old's opportunity for a pre-school experience is a function of two key variables: the desire of parents to enroll their child in a pre-school program on the one hand, and the availability of programs on the other. Effective program planning demands an analysis of existing programs against the backdrop of the four-year-old population as a whole. Such an analysis will determine the extent to which opportunities are being provided for pre-school education to all segments of the population.

This chapter presents a demographic and programmatic profile of New York City's four-year-olds. The first section presents demographic data detailing how many four-year-olds there are and their distribution across the City. Included in this discussion is consideration of such child and family characteristics as race/ethnicity, language background, economic status, family patterns and maternal employment. Geographic variation of these variables is also considered.

The second section presents the facts on early childhood program enrollment--how many four-year-olds are enrolled and in what types of programs, how enrollment varies by borough and community district and finally, the number of four-year-olds not enrolled in programs.

A DEMOGRAPHIC PROFILE OF FOUR-YEAR-OLDS IN NEW YORK CITY

The Commission estimates that there are about 100,000 four-year-olds in New York City. In the absence of firm data, we arrived at this figure based on the best projections of various City and State agencies.[1] While an imposing figure (equal to the entire population of the capital city of Albany, for example), the number of four-year-olds, along with the entire under-six population, has actually been declining over the past 25 years.[2]

As with the population in general, four-year-olds are not evenly distributed across New York City's boroughs. Brooklyn has the largest population of four-year-olds with an estimated 37,000; this is followed by Queens with 24,000. The Bronx ranks third with 19,000. Manhattan has 15,000, and Staten Island, 5,000 (see Table 1). Within the boroughs, children tend to be concentrated in certain community districts. There are eight community districts

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[1] New York State Department of Commerce, New York State Department of Health, City of New York Department of Health, City of New York Department of City Planning and the City of New York Human Resources Administration Agency for Child Development.

[2] Between 1960 and 1984 the under-six population has declined by 28 percent. Trude W. Lash, Heidi Sigal, Deanna Dudzinski, State of the Child: New York City II, 1980. New York State Department of Health, Bureau of Health Statistics, July, 1984 estimates.

TABLE 1

ESTIMATED FOUR-YEAR-OLD POPULATION, BY BOROUGH, NEW YORK CITY 1985*

	FOUR-YEAR-OLDS CITY-WIDE	
BOROUGH	ESTIMATED TOTALS	% OF CITY-WIDE TOTAL
BRONX	19,000	19%
BROOKLYN	37,000	37%
MANHATTAN	15,000	15%
QUEENS	24,000	24%
STATEN ISLAND	5,000	5%
TOTALS	100,000	100%

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*Based upon estimates from various sources, the Commission is estimating that the four-year-old population is 100,000. The estimated borough distributions are extrapolated from the 1980 Census.

(CDs) in which over 2,500 four-year-olds live (see Map 1). Their combined total of four-year-olds accounts for one-fifth of the City's entire population for this age group.

Ethnic Diversity

Ethnic diversity is a special characteristic of New York City's population. However, continuing a trend that began in the 1950s the population of the young is more heavily minority than that of the City as a whole (see Figure 1). In 1980, non-Hispanic Whites comprised 52

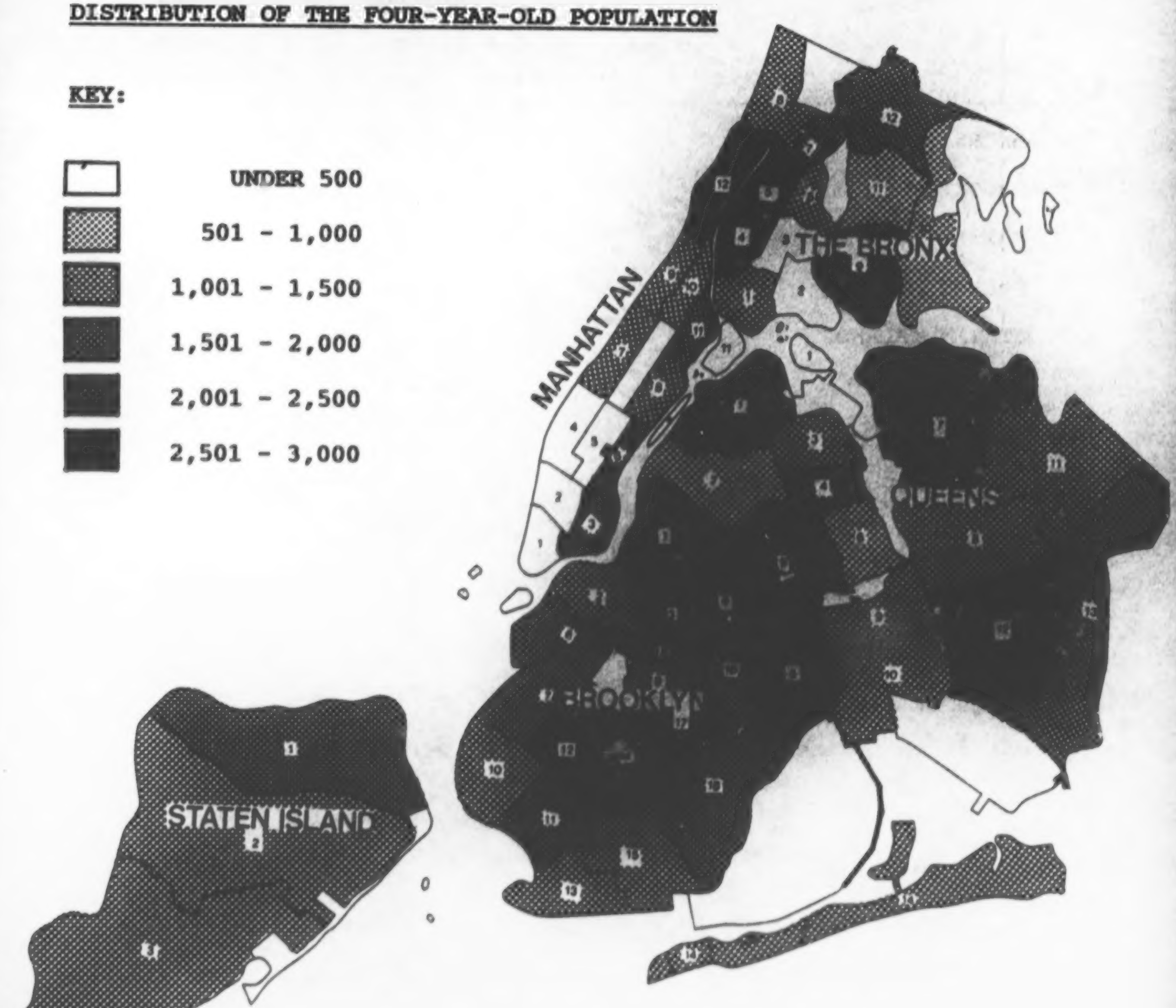
MAP 1

Community Districts in New York City

DISTRIBUTION OF THE FOUR-YEAR-OLD POPULATION

KEY:

☐	UNDER 500
░	501 - 1,000
▒	1,001 - 1,500
▓	1,501 - 2,000
▓	2,001 - 2,500
█	2,501 - 3,000



SOURCE: City of New York Department of City Planning. Age Distribution for Community Districts, Total Population, All Races, 1980 Census.

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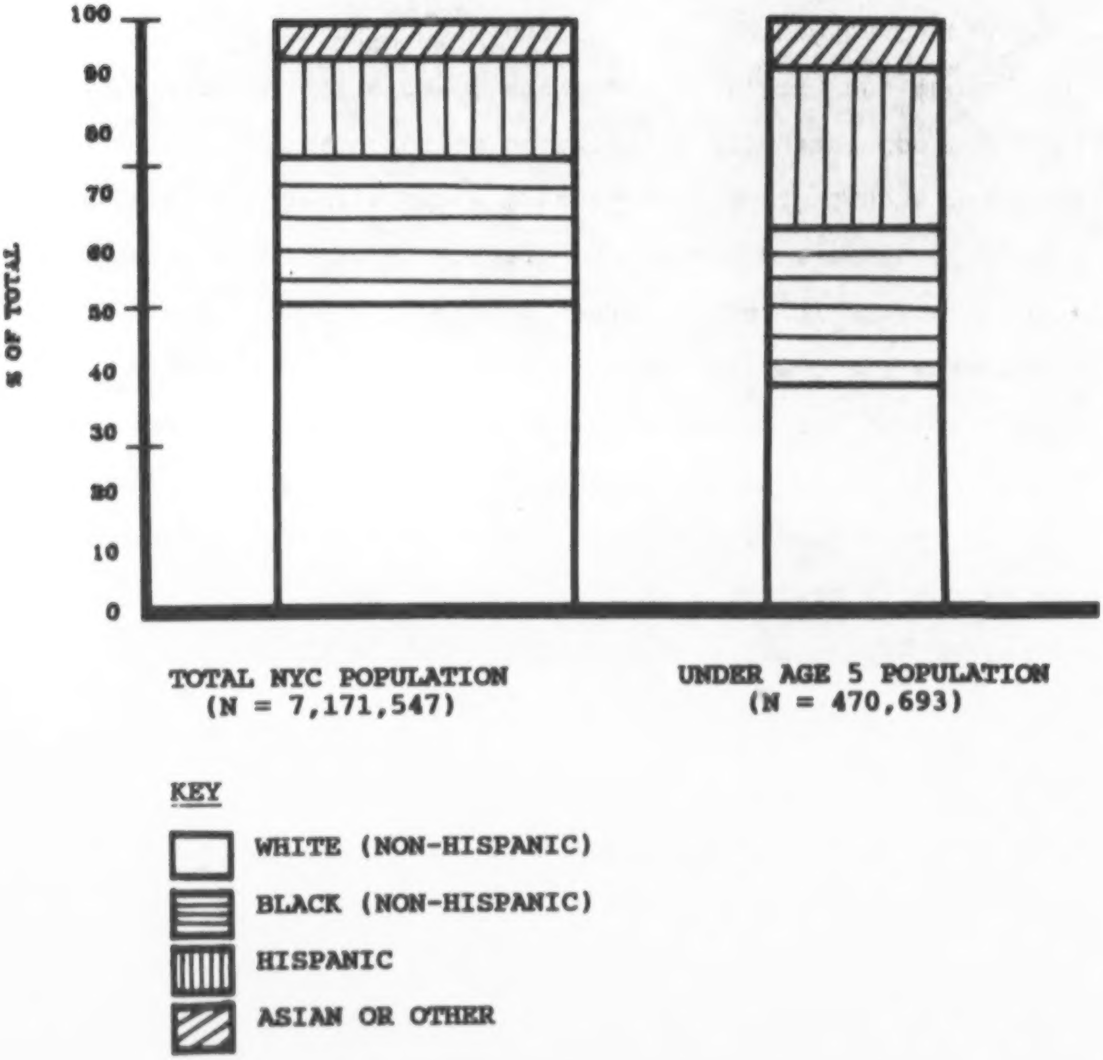
FIGURE 1

ETHNIC/RACIAL DISTRIBUTION OF TOTAL AND UNDER AGE 5 POPULATION, NEW YORK CITY, 1980



SOURCE: City of New York Department of City Planning, Age Distribution for Community Districts, Total Population, All Races, 1980 Census.

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percent of the total New York City population, as compared to 34 percent of the under-five group, while Hispanics constituted 31 percent of those under-five but 20 percent of the total City population. For non-Hispanic Blacks there was more comparability--30 percent of those under-five compared to 24 percent of the City-wide population.[3]

Among the City's 59 community districts, the four-year-old population is distributed differently, depending on race and ethnic group (see Maps 2, 3 and 4). Black children are least dispersed across the City, with particularly heavy concentrations in certain areas of Brooklyn (CDs 3 and 17) and Queens (CD 12) (Map 2). Hispanics are slightly more evenly spread across the City, with the heaviest concentrations in CD 12 in northern Manhattan (Map 3). The population of White four-year-olds is most evenly dispersed among the community districts (Map 4), but it, too, is concentrated in particular parts of the City, such as CD 1 in Staten Island, CD 12 in Brooklyn and CD 1 in Queens.

Linguistic Diversity

New York City retains its traditional role as a port-of-entry for many immigrant groups. As in the past, members of immigrant groups tend to be younger than the City population as a whole. Bearing and raising their children

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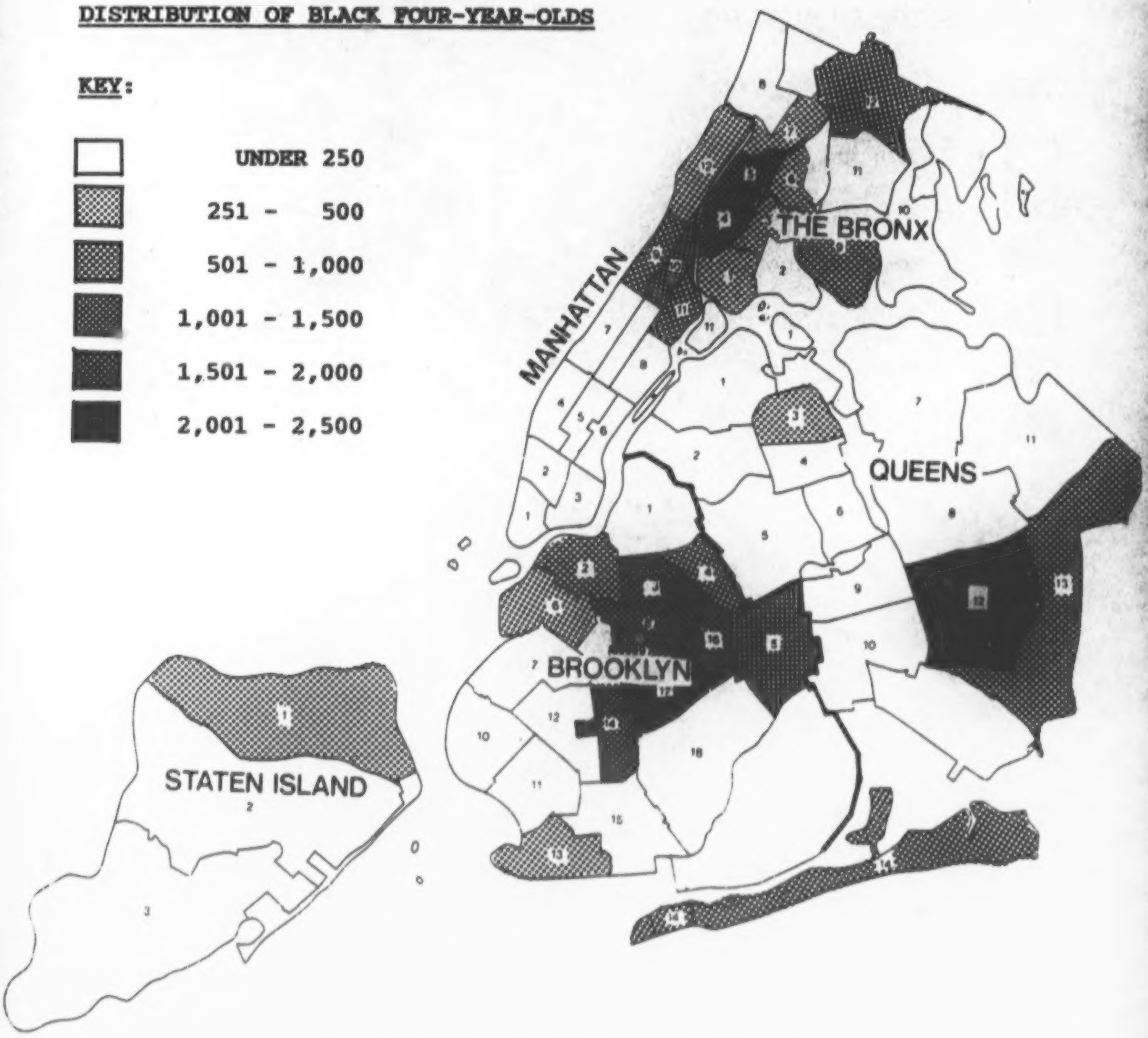
[3] City of New York Department of City Planning, Age Distribution for Community Districts, Total Population, All Races, 1980 Census.

MAP 2

Community Districts in New York City

DISTRIBUTION OF BLACK FOUR-YEAR-OLDS



SOURCE: City of New York Department of City Planning. Age Distribution for Community Districts, Total Population, All Races, 1980 Census.

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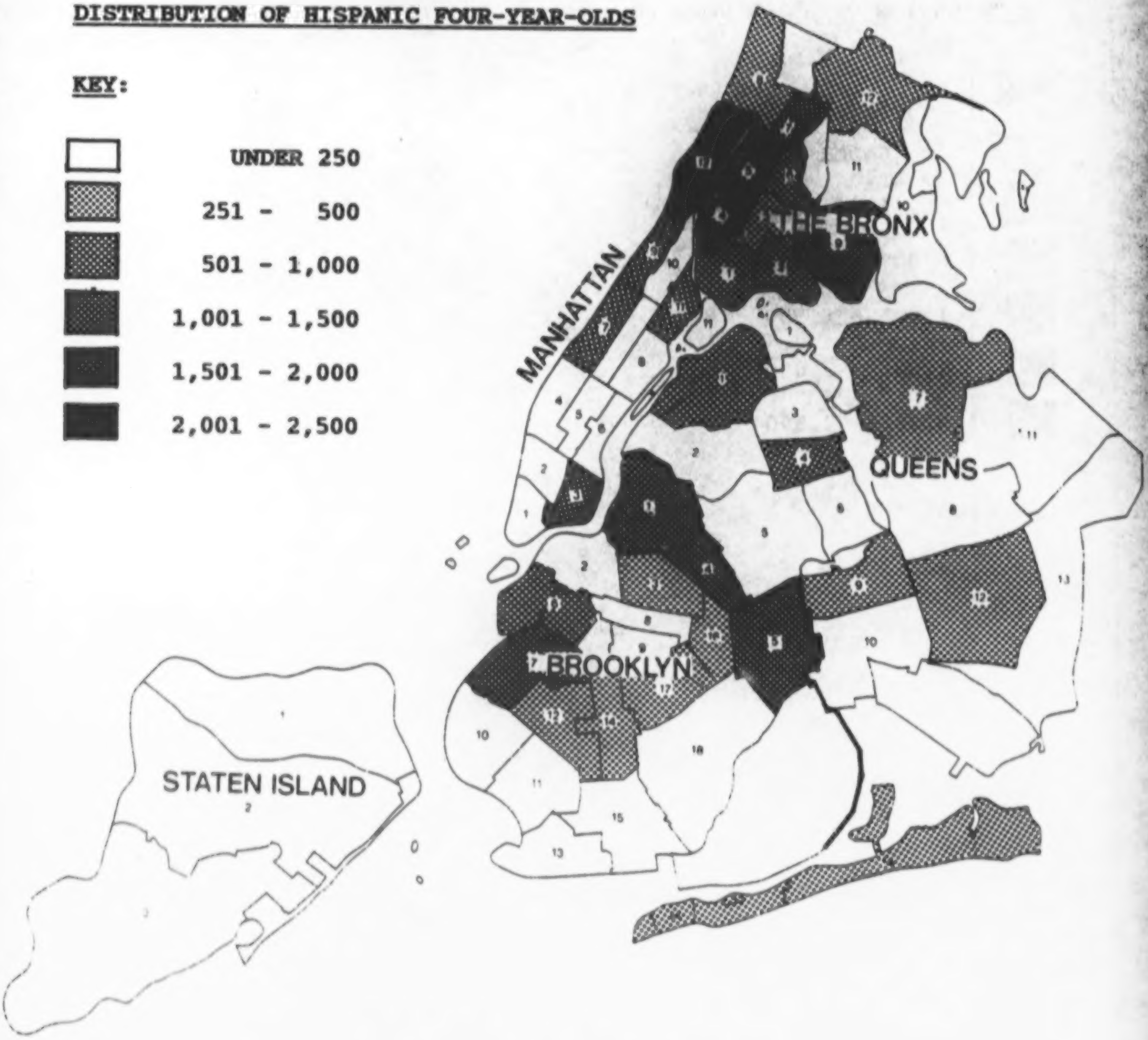
MAP 3

Community Districts in New York City

DISTRIBUTION OF HISPANIC FOUR-YEAR-OLDS



KEY:

- ☐ UNDER 250
- ░ 251 - 500
- ▒ 501 - 1,000
- ▓ 1,001 - 1,500
- ▓ 1,501 - 2,000
- █ 2,001 - 2,500

SOURCE: City of New York Department of City Planning. Age Distribution for Community Districts, Total Population, All Races, 1980 Census.

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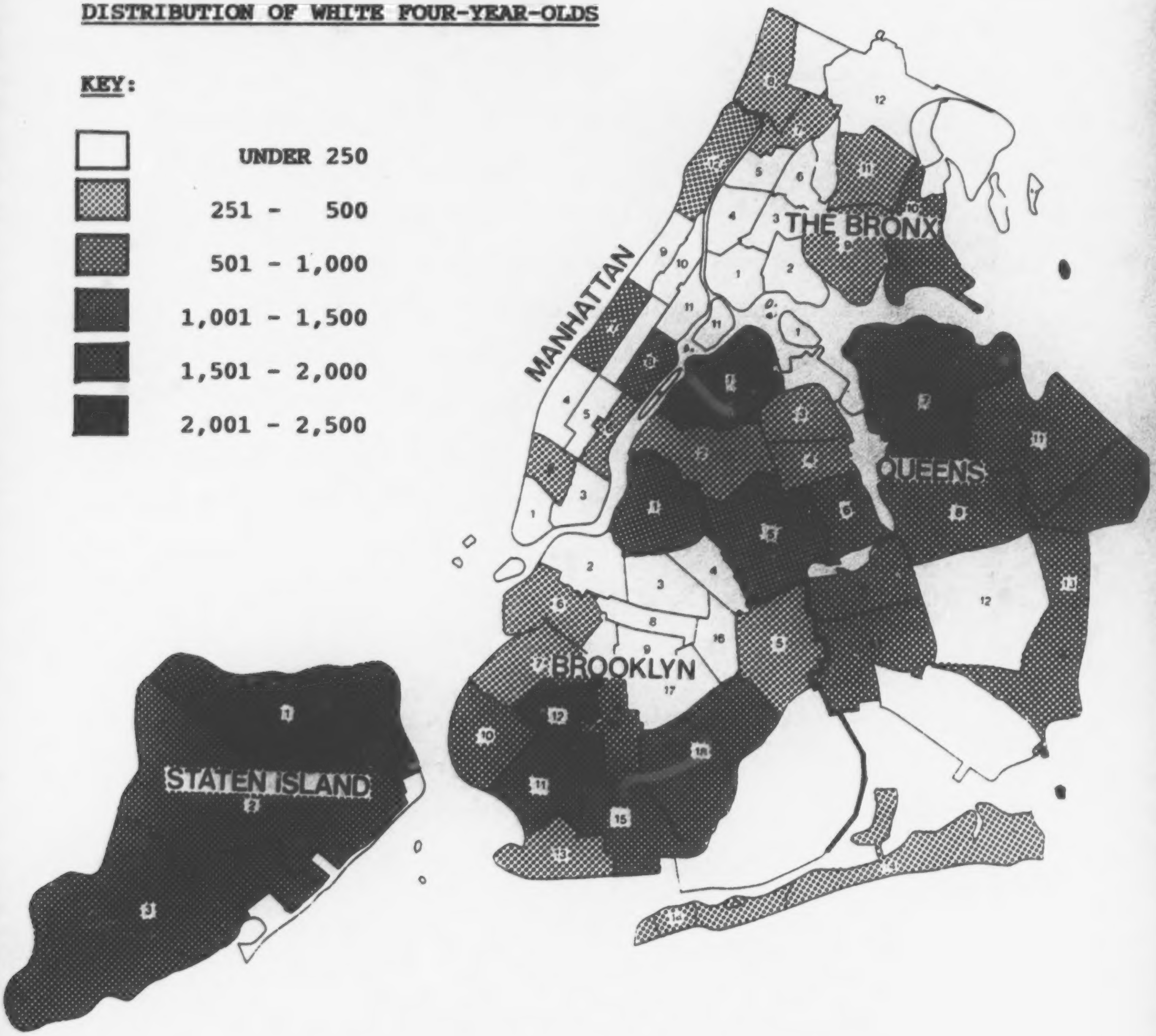
MAP 4

Community Districts in New York City

DISTRIBUTION OF WHITE FOUR-YEAR-OLDS



SOURCE: City of New York Department of City Planning. Age Distribution for Community Districts, Total Population, All Races, 1980 Census.

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in New York City, they--and their children--face difficult cultural, social and language transitions.

The 1980 Census estimated that 36 percent of New York City children aged five to 17 lived in households where a language other than English was regularly spoken. A Board of Education sampling of the 58,600 children enrolled in Public School kindergarten classes during the 1983-84 school year indicated that at least 43 percent did not speak English at home.[4] Almost one-third of all kindergarten pupils came from homes where Spanish was spoken. Five percent of the total number of kindergartners came from Chinese language homes. In all, 24 language groups were represented. Furthermore, the younger the children, the more likely it is that they speak little English. For many four-year-olds, an early childhood program is probably their first out-of-home experience, and perhaps their first exposure to an English-speaking environment.

Economic Status

Over one-third (34 percent) of all of New York City's four-year-olds live in families who are recipients of public assistance or whose income is below the Federal Poverty

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[4] New York City Public Schools Office of Educational Assessment, 1983-84 All-Day Kindergarten Program: Effects on Student Growth, January, 1985.

Guidelines.[5] Poverty, as with minority racial and ethnic status, tends to be concentrated in specific areas of the City, particularly the northern districts of Manhattan, especially Washington Heights (CD 12); the West Bronx (CDs 4 and 5); Greenpoint (CD 1), Bushwick (CD 4), Bedford-Stuyvesant (CD 3), Brownsville (CD 16) and East New York (CD 5) in Brooklyn (see Maps 5 and 6).

In addition, those persons in New York City living below 125 percent of the Federal Poverty Guidelines (e.g., a family of four with an income of $13,375 in 1985 dollars) are also defined by the City's Human Resources Administration as "needy." In 1982, an estimated range of 39 to 57 percent of children under 18 lived in families with incomes below 125 percent of the poverty level. The percent of children in this category in the rest of New York State was only 25 percent and in the United States as a whole, 30 percent.[6] By any definition, there are an alarming number of four-year-olds living in poverty in New York City.

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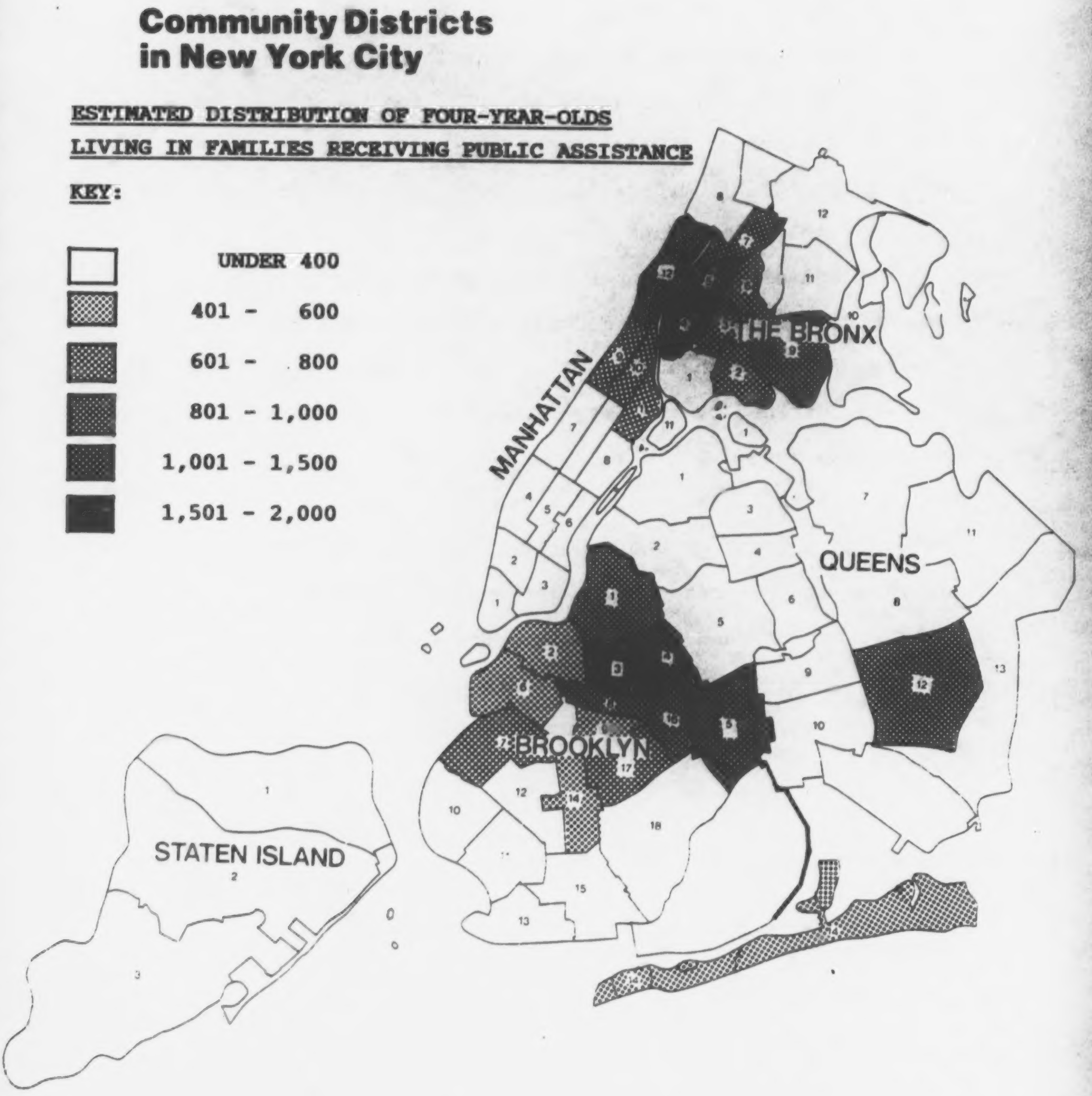
[5] This number was calculated by comparing the estimated number of four-year-olds in each borough living below poverty in 1979 as per the 1980 Census, and the number of estimated four-year-olds in each borough living in families receiving public assistance in September 1984 as per data from the Human Resources Administration. The higher figures for each of these were then combined for an estimated City-wide total of 34,000.

[6] City of New York Human Resources Administration, Office of Policy and Economic Research, Dependency: An Economic and Social Data Report for New York City, April 1985. Data for New York City are expressed at 95 percent confidence intervals.

MAP 5



Community Districts in New York City

ESTIMATED DISTRIBUTION OF FOUR-YEAR-OLDS LIVING IN FAMILIES RECEIVING PUBLIC ASSISTANCE

SOURCE: City of New York Human Resources Administration. Small Area Public Assistance Demographics, September, 1984.

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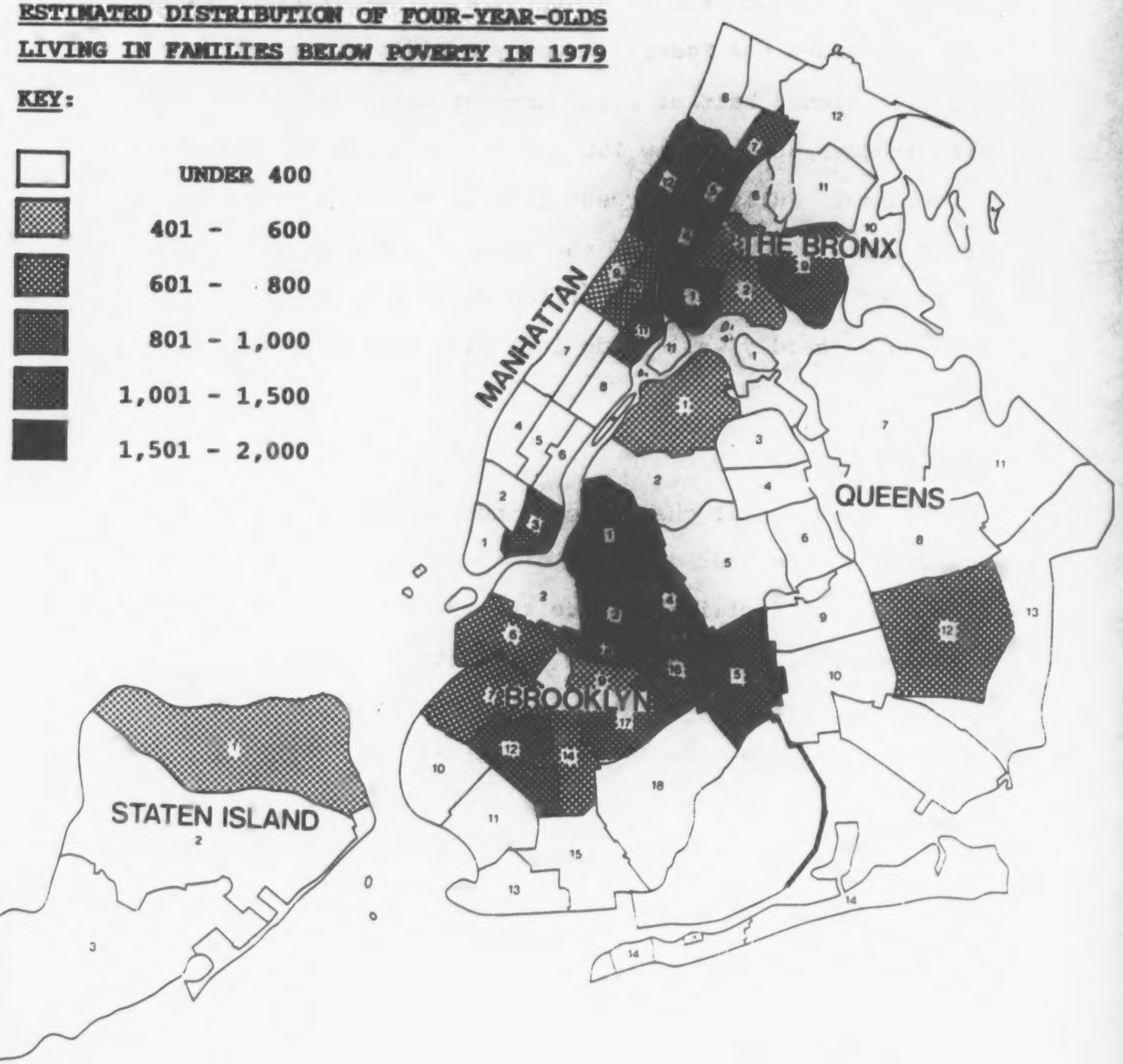
MAP 6

Community Districts in New York City

ESTIMATED DISTRIBUTION OF FOUR-YEAR-OLDS LIVING IN FAMILIES BELOW POVERTY IN 1979



KEY:

☐ UNDER 400
░ 401 - 600
▒ 601 - 800
▓ 801 - 1,000
▩ 1,001 - 1,500
■ 1,501 - 2,000

SOURCE: City of New York Department of City Planning. Community District Statistics from the 1980 Census, June, 1984.

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Many children live in families with somewhat higher income but where financial stress continues to be a factor affecting family life. Estimates of the size of this population can be made by applying a series of percentages that are above the Federal Poverty Guidelines (see Figure 2). Almost half of all four-year-olds live in families with incomes at or below 150 percent of the Federal Poverty Guidelines. Fully 60 percent live in families with incomes at or below 200 percent of the Federal Poverty Guidelines. While not "poor," a family of four with a total income of $21,300 is hardly well-to-do in a high-cost city like New York.

Family Patterns

Ongoing social changes continue to affect family structure. The most dramatic of these is the increase in single-parent families. Since the 1960s the number of single-parent families in New York City has increased at a rapid rate: in 1960 one out of ten children lived in a single-parent home; in 1970, two out of ten.[7] In 1980, 30 percent of all families with children were headed by single women. This is 50 percent higher than the national average.[8]

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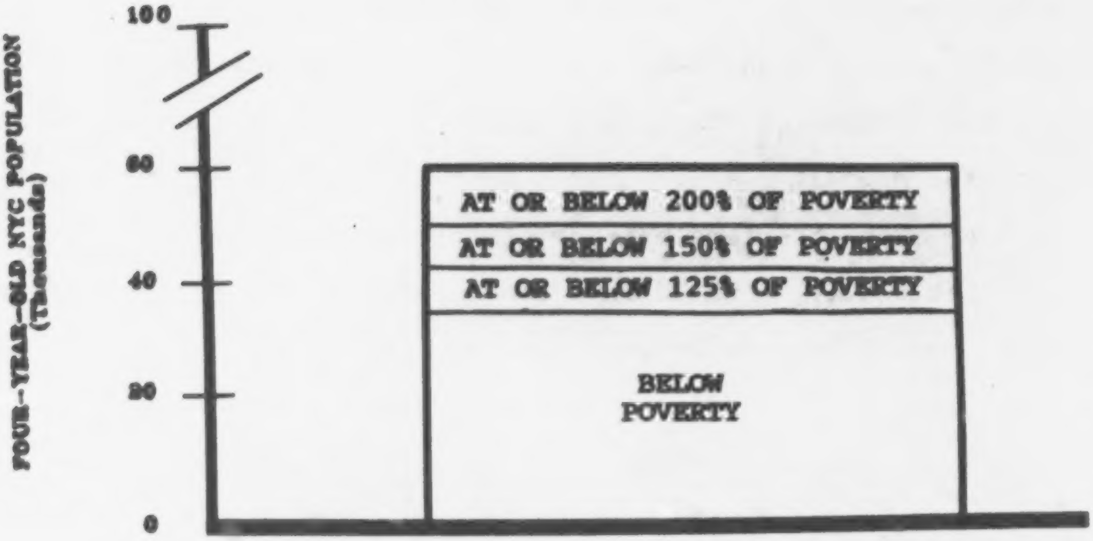
[7] Lash, Sigal and Dudzinski.

[8] Children's Defense Fund, America's Children and Their Families: Key Facts, 1982.

FIGURE 2

ESTIMATED POPULATION OF FOUR-YEAR-OLDS LIVING AT OR BELOW SPECIFIC LEVELS OF POVERTY IN NEW YORK CITY, 1985



- 34% of all of New York City's four-year-olds live below poverty.
- 42% live at or below 125% of the Federal Poverty Guidelines ($13,375 for a family of four in 1985 dollars).
- 49% live at or below 150% of the Federal Poverty Guidelines ($15,975 for a family of four in 1985 dollars).
- 60% live at or below 200% of the Federal Poverty Guidelines ($21,300 for a family of four in 1985 dollars).

SOURCE: U.S. Department of Commerce, Bureau of the Census, 1980 Census of Population, Volume I - Characteristics of the Population, Chapter D, "Detailed Population Characteristics," Part 34, New York, §2: Table 254, Issued November, 1983. 1980 percentages were extrapolated to the 1985 four-year-old population.

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In New York City, approximately 44 percent of the single-parent families (134,500 households) included children under the age of six. This population, moreover, is clustered in particular areas of the City. One-quarter of the single-parent families were located in just six of the City's 59 community districts--Washington Heights (CD 12) in Manhattan; the West Bronx (CDs 4 and 5); and Bedford-Stuyvesant (CD 3), Bushwick (CD 4) and East New York (CD 5) in Brooklyn (see Map 7).

In many cases the female-headed family is also a poor family.[9] Nationally, a child in a female-headed family is five times more likely to be poor than a child in a two-parent family.[10] Single-parent status is a predictor of poverty in New York City as well. In 1979, there were 246,700 families with children under 18 living below the poverty level in New York City; 69 percent (170,200 households) were headed by women. More than one-half of these (92,100 families) had young children under the age of six. Sixty-eight percent of single mothers with children under six lived below the federal poverty level (see Figure 3).

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[9] As noted earlier, a poor family is defined in this report as (1) a family whose income is below the Federal Poverty Guidelines (e.g., at or below $10,650 for a family of four), or (2) a family receiving public assistance.

[10] Children's Defense Fund, Black and White Children in America: Key Facts, 1985.

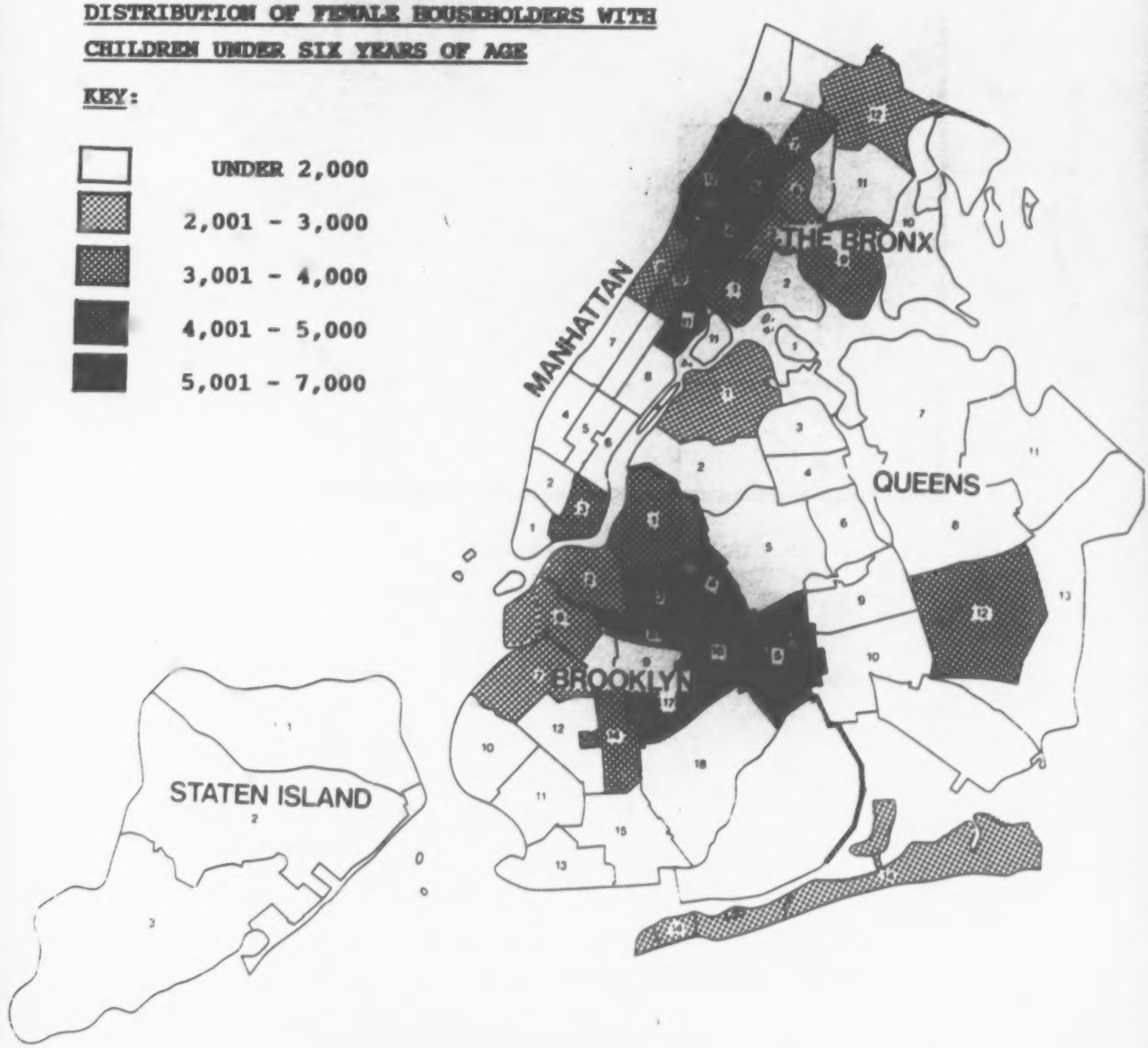
MAP 7

Community Districts in New York City

DISTRIBUTION OF FEMALE HOUSEHOLDERS WITH CHILDREN UNDER SIX YEARS OF AGE

KEY:

- ☐ UNDER 2,000
- ░ 2,001 - 3,000
- ▒ 3,001 - 4,000
- ▓ 4,001 - 5,000
- ■ 5,001 - 7,000



SOURCE: City of New York Department of City Planning. Community District Statistics from the 1980 Census, June, 1984.

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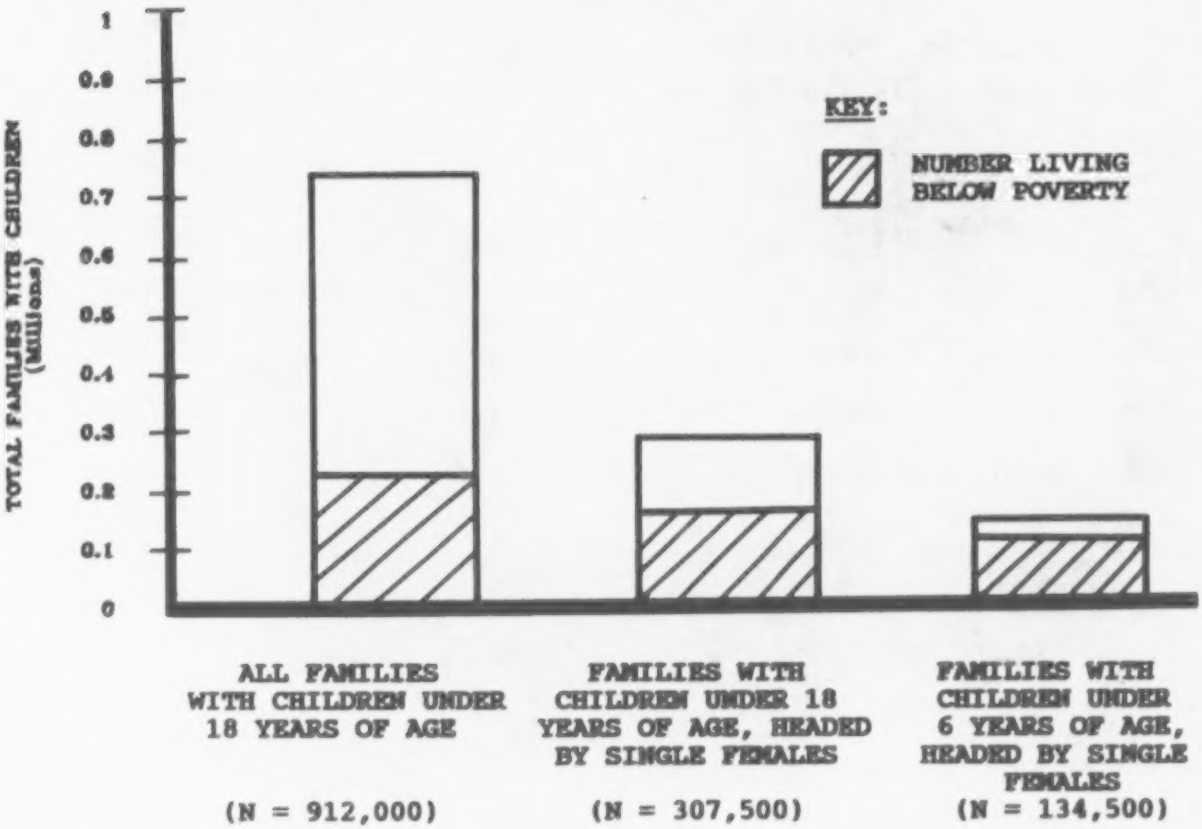
FIGURE 3

NUMBER OF FAMILIES WITH CHILDREN LIVING BELOW POVERTY, BY FAMILY STRUCTURE, NEW YORK CITY, 1979



SOURCE: City of New York Department of City Planning, Community District Statistics, June, 1984.

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These families were clustered in three sections of the City: Washington Heights (CD 12) in Manhattan; the West Bronx (CDs 4 and 5); and parts of Bushwick (CD 4), Bedford-Stuyvesant (CD 3) and East New York (CD 5) in Brooklyn (see Map 8). These districts also are among the highest concentrations of four-year-olds in general whose families live below the federal poverty line and/or receive public assistance (see Maps 5 and 6). Obviously, many of the children characterized by these statistics are the same children--their families are poor or receiving public assistance and their mothers are often the single-head of the family.

Working Mothers

Mothers of young children are entering the labor force in ever-greater numbers. In 1984, almost half of all U.S. children under the age of six had mothers in the labor force--a 20 percent increase from 1970.[11] In New York City, the percentages are lower, but the trend is the same. In 1980, of the 393,700 women in New York City with children under six, more than one-third were in the labor force. In 1970, 22 percent of this group of women worked (see Figure 4).[12] Assuming a continuation of this linear trend, as many

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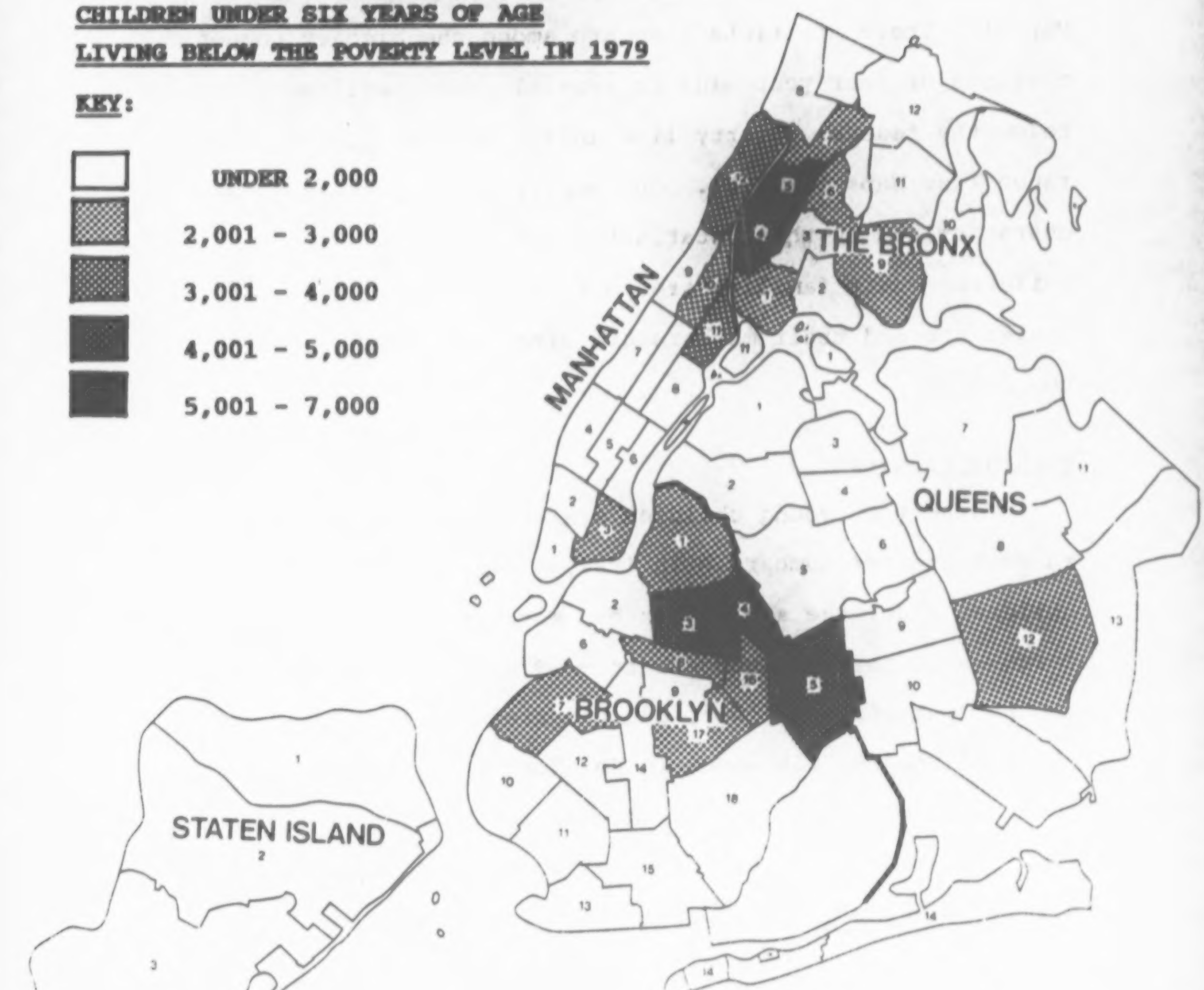
[11] Children's Defense Fund, Black and White Children in America.

[12] Lash, Sigal and Dudzinski.

MAP 8

Community Districts in New York City

DISTRIBUTION OF FEMALE HOUSEHOLDERS WITH CHILDREN UNDER SIX YEARS OF AGE LIVING BELOW THE POVERTY LEVEL IN 1979



SOURCE: City of New York Department of City Planning. Community District Statistics from the 1980 Census, June, 1984.

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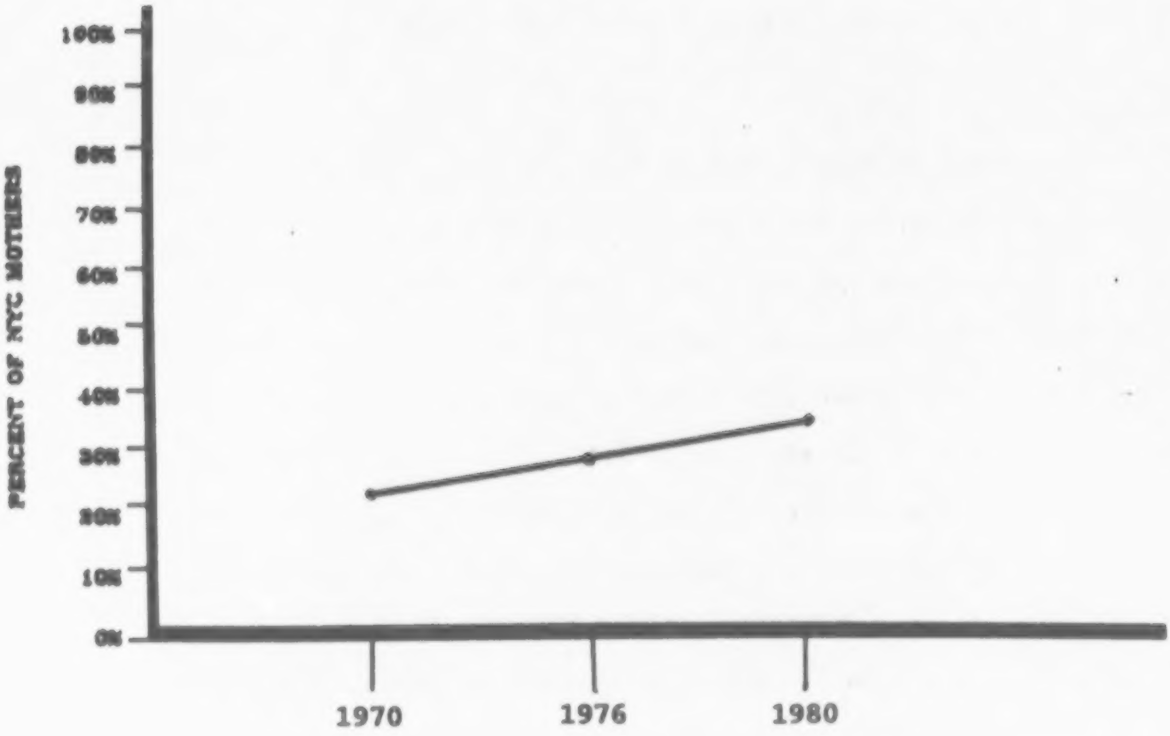
FIGURE 4

PERCENT OF MOTHERS WITH CHILDREN UNDER SIX YEARS OF AGE IN THE LABOR FORCE, NEW YORK CITY, 1970 - 1980



SOURCE: Trude W. Lash, Heidi Sigal, and Deanna Dudzinski, State of the Child: New York City II. Foundation for Child Development, 1980.

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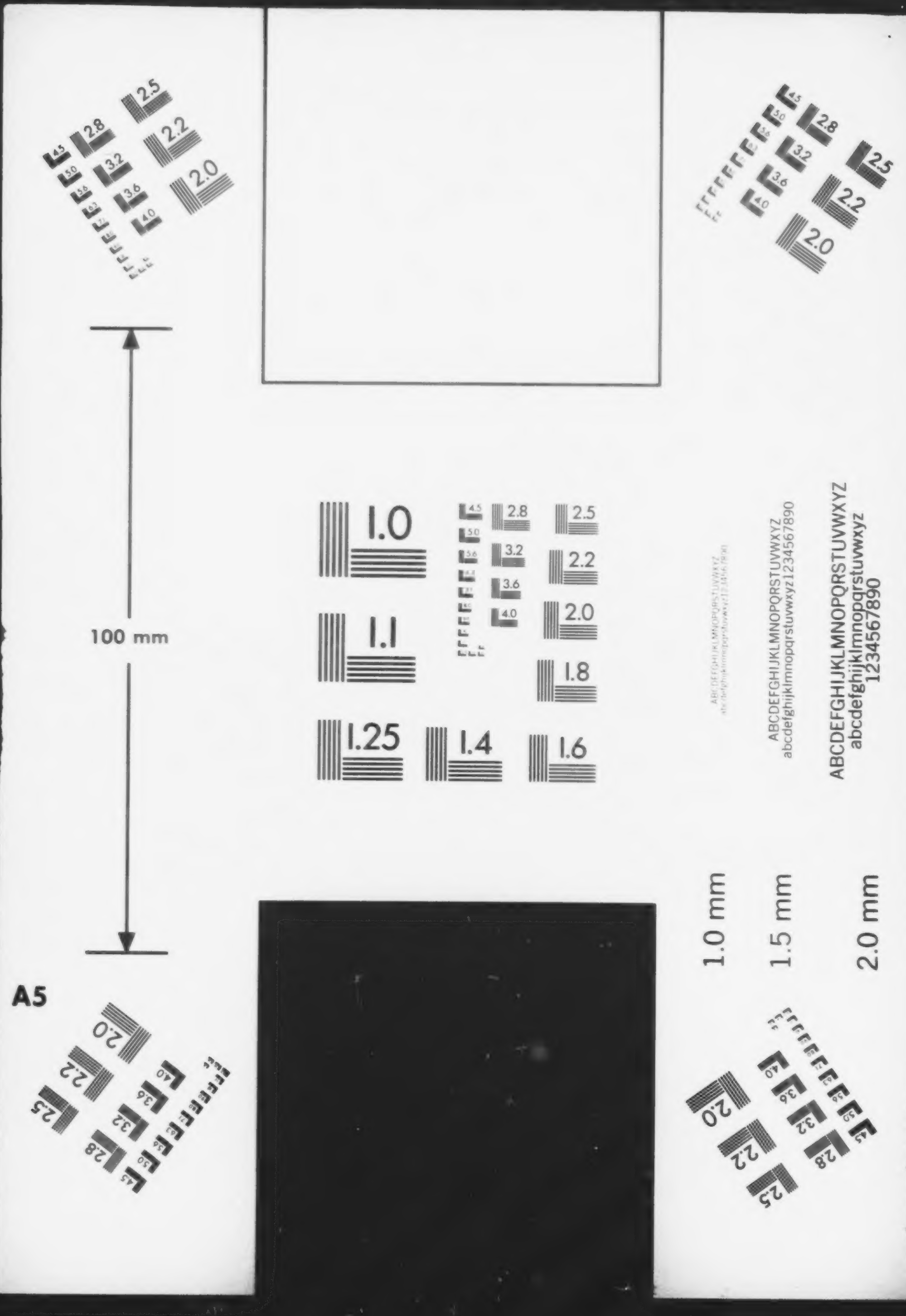
as 40 percent may have been working in 1985. The distribution of New York City's working mothers with young children is shown in Map 9. They are located all over the City, but are particularly concentrated in seven community districts--CDs 5, 14 and 17 in Brooklyn; CDs 12 and 13 in Queens; CD 12 in Manhattan; and CD 9 in the Bronx.

Summary

Within the context of an overall recent decline in the child population in New York City are increased numbers of minority children, particularly those for whom English is not their first language. Perhaps close to half of all New York City's four-year-olds speak a language other than English at home. In addition, many of the families in which the City's young children live are characterized by poverty; one-third of the City's four-year-olds live in families receiving public assistance or who have incomes below the federal poverty level. Close to one-third of all families with children are female-headed households--almost half of which include children under the age of six and the majority of which live in poverty. More than one-third of women with children under the age of six are in the labor force.

Geographical analysis clearly pointed to pockets of densities. Not only are four-year-olds unevenly distributed across the City, but poverty, single-parent households and minority status tend to be concentrated together in specific areas.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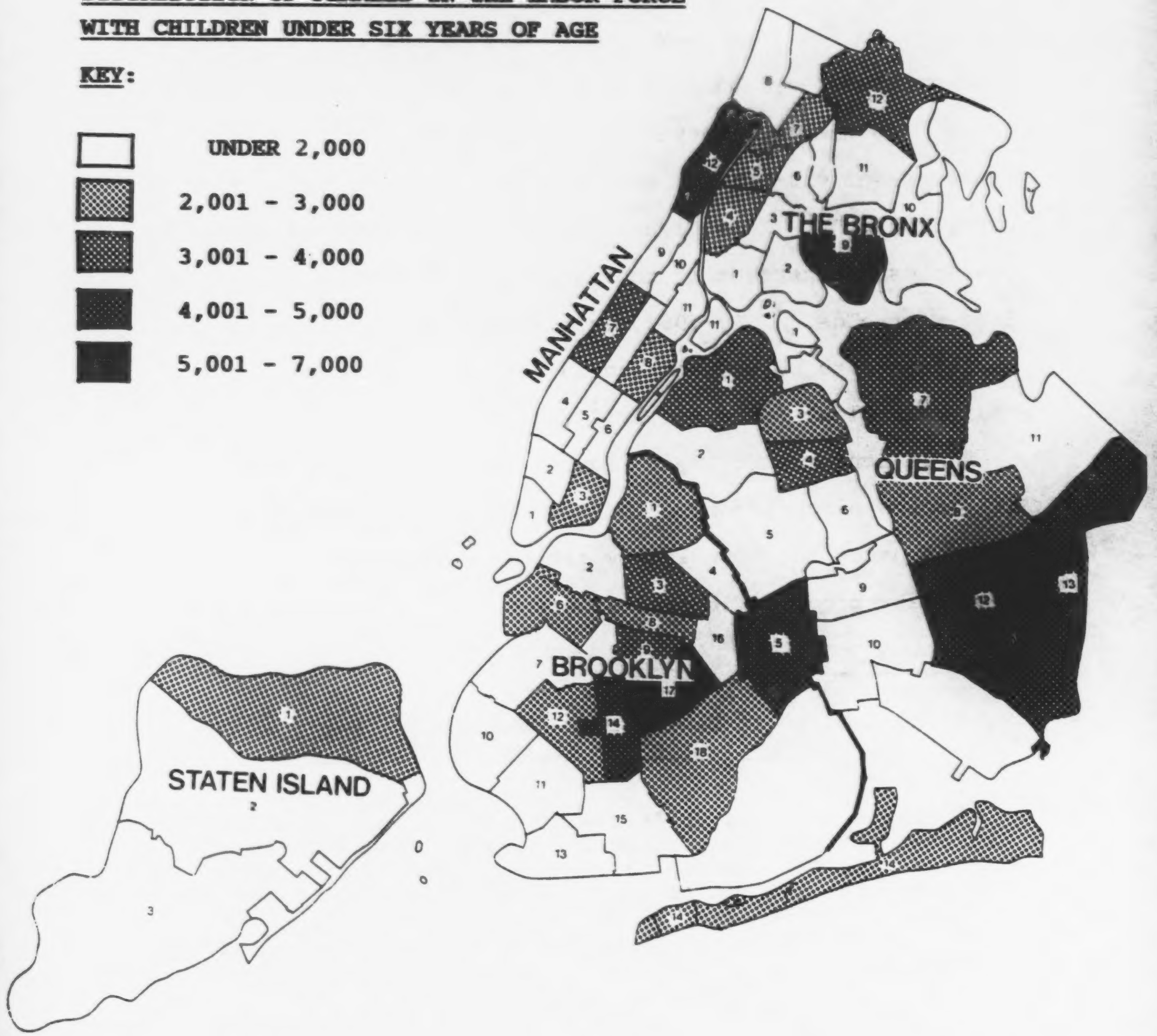
MAP 9

Community Districts in New York City

DISTRIBUTION OF FEMALES IN THE LABOR FORCE WITH CHILDREN UNDER SIX YEARS OF AGE



KEY:

☐	UNDER 2,000
▨	2,001 - 3,000
▨	3,001 - 4,000
▩	4,001 - 5,000
■	5,001 - 7,000

SOURCE: City of New York Department of City Planning. Community District Statistics from the 1980 Census, June, 1984.

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ENROLLMENT OF FOUR-YEAR-OLDS IN EARLY CHILDHOOD PROGRAMS IN NEW YORK CITY

National figures set the stage for discussion of the participation of the four-year-old population in pre-school programs in New York City. According to the 1980 Current Population Survey, 55 percent of the nation's nine million three-, four- and five-year-olds were enrolled in center-based pre-primary programs "that provide educational experiences."[13] This figure included 27 percent of three-year-olds, 46 percent of four-year-olds and 93 percent of five-year-olds.[14] By 1992, enrollment figures are expected to increase to 37 percent and 55 percent for three- and four-year-olds, respectively.[15]

Pre-school enrollment figures are not uniform across all groups of children. "The more income and education parents have, the more likely are their children to be in preprimary programs at ages 3, 4 and 5."[16] In 1980, four-year-olds' pre-school enrollment rate was 37 percent for the children of high school dropouts, as compared to 68 percent for the children of college graduates. That is, children of college graduates attend such programs at a rate 84 percent of that of dropouts.[17]

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[13] Data cited in Lawrence J. Schweinhart, Early Childhood Development Programs in the Eighties: The National Picture, 1985.

[14] These numbers, while taking into account Head Start, public and private nursery school, pre-kindergarten and kindergarten, exclude day care center program enrollment which, for children under five with working mothers, is estimated to be at least 15 percent. United States Bureau of the Census, Trends in Child Care Arrangements of Working Mothers, 1982.

[15] Debra E. Gerald, Projections of Education Statistics to 1992-93, 1982.

[16] Schweinhart.

Data indicate that children from middle-income families are more likely than children from lower-income families to attend a pre-school program. Since most publicly-funded programs are geared to lower-income children, this indicates that a good number of parents of moderate means are paying for their children to attend private pre-school programs. Nationally, in 1980, 38 percent of four-year-olds from families with annual incomes under $10,000 attended pre-school, as compared to 63 percent from families with incomes over $20,000.[18]

It is sometimes said that pre-school educational programs are an inadequate option of last resort for parents who are seeking quality, full-day care for their children.[19] While this may be true for some, the pre-school enrollment rate of three- and four-year-olds whose mothers, in 1980, were not in the labor force, was a striking 32 percent.[20] Parents, across all income strata and regardless of the mother's work status, appear to place a high premium on pre-school enrollment for their children.

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[17] Schweinhart.

[18] Schweinhart.

[19] Edward Zigler, "Should Pre-School Education be Compulsary?" Testimony delivered to the New York City Commission on the Year 2000, May 9, 1985.

Estimated Program Enrollment

Throughout this document the term "pre-school educational program" applies only to those center-based programs with an explicit educational component, thus excluding family day care, recreational pre-school programs operated by the Department of Parks and Recreation and unlicensed day care centers. However, figures pertinent to enrollments in both Department of Parks and unlicensed private programs are included in total enrollment figures in order to present as complete a picture as possible of the center-based programs currently available to four-year-old children in New York City.

Close to half of New York City's 100,000 four-year-olds are enrolled in some type of early childhood program (see Table 2). Almost half of these (or close to one-quarter of the total four-year-old population) attend publicly-funded pre-school programs. The other half are in private programs, one-quarter of which are estimated to be unlicensed.

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[20] Schweinhart.

TABLE 2

ENROLLMENT OF NEW YORK CITY FOUR-YEAR-OLDS IN PUBLICLY FUNDED AND PRIVATE CENTER-BASED PROGRAMS, FALL, 1985

DELIVERY SYSTEM	ESTIMATED TOTAL # OF FOUR-YEAR-OLDS ENROLLED	% OF TOTAL FOUR-YEAR-OLDS ENROLLED
ACD DAY CARE [a]	10,000	10%
ACD HEAD START [b]	7,300	7%
PUBLIC SCHOOLS [c]	5,300	5%
NYC DEPARTMENT OF PARKS AND RECREATION [d]	1,200	1%
PRIVATE -- LICENSED [e]	18,550	19%
PRIVATE -- UNLICENSED [f]	6,000	6%
TOTAL SERVED	48,350	48%

NOTE: The Commission is estimating the total New York City four-year-old population at 100,000.

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[a] NYC Human Resources Administration, District Resource Statements, March, 1985. These figures reflect the planned capacity for 1985-86 for group and family day care. The four-year-old population was estimated by assuming that they will continue to comprise 24% of the day care population, as they did in 1984.

[b] NYC Human Resources Administration, District Resource Statements, March, 1985. These figures reflect the planned capacity for 1985-86. The four-year-old population was estimated by assuming that they will continue to comprise 63 percent of the Head Start population, as they did in 1984.

[c] NYC Board of Education, Early Childhood Education Unit, February, 1986. Board of Education pre-school programs include those funded through New York State Experimental Pre-Kindergarten, Legislative Grants, Chapter I, Tax Levy and Umbrella monies.

[d] NYC Department of Parks and Recreation, November 1985. Four-year-olds comprise 90 percent of the total Parks Department pre-school enrollment.

[e] Figures include parochial programs and private programs with licenses pending. Estimates were projected from responses to Commission survey of licensed group programs, November, 1985, and data from the Archdiocese of New York, the Brooklyn Diocese, The Board of Jewish Education and the NYC Department of Health.

[f] Estimate derived from the 1980 Census count of 24.5% of pre-school children in private programs minus the Commission's estimate of children enrolled in licensed private programs.

The Agency for Child Development (ACD), within the Human Resources Administration, administers two publicly-funded programs. ACD Day Care is the largest single publicly-funded program for four-year-olds. It enrolls over 10,000 four-year-olds, or 24 percent of Day Care's total planned capacity.[21] Although ACD Head Start enrolls a smaller absolute number of four-year-olds, these 7,300 children make up 63 percent of its total enrollment.

The Board of Education has five types of pre-school programs. The single largest pre-kindergarten program in the public schools is the New York State Experimental Prekindergarten Program, which enrolls 2,532 four-year-olds in 20 Community School Districts. Other pre-kindergarten programs in the Public Schools are those funded by individual legislative grants (1,797 children enrolled) and by the School Community Education (Umbrella) Programs (155 children enrolled). Chapter I funds support pre-school programs in one district (570 children enrolled) and Tax Levy funds are used in six districts for pre-school programs for 284 four-year-olds.

The Department of Parks and Recreation provides pre-school for an additional 1,200 children, bringing the City-wide total of four-year-olds enrolled in publicly-funded programs to 23,800, slightly less than 25 percent of the total number of four-year-olds in the City.

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[21] Total capacity refers to actual program slots. Making allowances for variations in attendance, centers are currently enrolled at 104 percent of planned capacity.

Enrollments in private programs can only be estimated. A directory of private licensed programs published by the New York City Department of Health lists a total of 478 programs City-wide which serve four-year-olds, plus 90 programs with licenses pending. As part of a Commission survey of licensed group programs, 185 responses (39 percent of all licensed programs City-wide) were obtained from private programs. The 185 survey respondents reported serving a total of 4,837 four-year-olds or an average of 26 per program. We applied this average to the 478 private licensed and 90 license-pending programs City-wide, and added to the resulting total (14,750) estimates of four-year-olds enrolled in parochial programs (about 3,800 children.)[22] Taken together, we estimated that a total of 18,550 four-year-olds are served in private licensed group programs. Furthermore, 1980 Census data counted approximately 24.5 percent of pre-school-aged children as enrolled in either licensed or unlicensed private programs in New York City. Applying this percentage to the 1985 cohort, we assumed that the remaining 6,000 were served in unlicensed programs.

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[22] Pre-school programs operated by organized religious organizations attached to elementary schools are not required to be licensed by the Department of Health. However, they are expected to comply with the Department's requirements.

Enrollments by Borough. Enrollments of four-year-olds in early childhood programs across the City do not necessarily reflect the distribution of the City's total four-year-old population (see Table 3). In Manhattan, for

TABLE 3

ENROLLMENT OF NEW YORK CITY FOUR-YEAR-OLDS IN PUBLICLY FUNDED AND PRIVATE PROGRAMS, BY BOROUGH, FALL, 1985

BOROUGH	TOTAL FOUR-YEAR OLD POPULATION	TOTAL AND % ENROLLED IN PUBLIC PROGRAMS[a]	TOTAL AND % ENROLLED IN PRIVATE PROGRAMS[b]	TOTAL AND % OF FOUR-YEAR-OLD POPULATION SERVED
BRONX	19,000	4,600 (24%)	2,900 (15%)	7,500 (39%)
BROOKLYN	37,000	9,700 (26%)	7,400 (20%)	17,100 (46%)
MANHATTAN	15,000	5,500 (37%)	4,500 (30%)	10,000 (67%)
QUEENS	24,000	2,500 (10%)	6,900 (29%)	9,400 (39%)
STATEN IS.	5,000	250 (5%)	2,800 (56%)	3,050 (61%)
TOTALS	100,000	22,550 (23%)	24,500 (25%)	47,050 (47%)

[a] Publicly-funded programs include ACD Day Care and Head Start and Public School pre-school programs.

[b] Private programs include licensed, license-pending, parochial and unlicensed programs.

example, which has an approximate four-year-old population of 15,000, 10,000 are enrolled in programs. Manhattan has proportionately the largest numbers of public and private slots available--5,500 public and 4,500 private--of any borough. Staten Island, with almost two-thirds of its four-year-olds in programs, is served almost exclusively by private programs. Proportionately, the Bronx has the smallest number and percentage of four-year-olds enrolled in programs. Only 39 percent of its four-year-olds attend a public or private program.

If the locations of ACD Day Care, Head Start, Public School and private licensed programs were plotted on borough maps, they would be found to cluster in predictable ways. On the Upper East Side of Manhattan, for example, with the exception of one Head Start program, all programs are private; on the Lower East Side there is a rich mix of all types of public and private programs.

Economically-Disadvantaged Four-Year-Olds in Publicly-Funded Programs

The publicly-supported pre-school educational programs (ACD Day Care, Head Start and Public School pre-school programs) are primarily directed toward serving low-income children in need of supplementary assistance, though certain other special needs are also targeted.

Of the total number of children enrolled in publicly-funded educational programs, 16,300, or 72 percent of them come from families solely supported by public assistance or living at or near the Federal Poverty Guidelines. Nevertheless, public programs do not serve even half of the economically-disadvantaged four-year-olds in New York City. Currently, there are 34,000 four-year-old children living below the Federal Poverty Guidelines or supported by public assistance[23]--thus meeting eligibility criteria for free ACD Day Care, Head Start and certain Public School pre-school programs. Thus, approximately 17,700 children are eligible for, but receive no publicly-funded pre-school experience (see Table 4).

As with overall program enrollments, the capacity of the publicly-funded programs to serve all eligible children varies by borough (see Table 5 and Figure 5). Head Start serves 38 percent of economically-disadvantaged four-year-olds in Manhattan, but only 17 percent of those in the other boroughs. ACD Day Care serves about 20 percent of the economically-disadvantaged four-year-old population in each of the boroughs. The Public Schools' small-scale pre-school programs serve seven percent of the City's lowest-income four-year-olds.

Unserved Four-Year-Olds. Considering both the number of children in private licensed programs and those in publicly-funded programs, there still remain an estimated

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[23] Because poverty has increased in New York City since 1980 and because not all poor families receive public assistance, this figure is probably an underestimate of the actual number of economically-disadvantaged four-year-olds.

59,000 four-year-olds in New York City who receive no formal pre-school education. As many as 18,000 of these children are poor enough to qualify for free public programs. For some, their parents may choose to keep them at home, or

TABLE 4

ECONOMICALLY-DISADVANTAGED FOUR-YEAR-OLDS ENROLLED IN PUBLICLY-FUNDED PROGRAMS, FALL, 1985

DELIVERY SYSTEM	ESTIMATED TOTAL OF LOW INCOME FOUR-YEAR-OLDS ENROLLED	ESTIMATED % OF LOW INCOME FOUR-YEAR-OLDS (N = 34,000)
ACD DAY CARE	6,600[a]	19%
ACD HEAD START	7,300[b]	21%
PUBLIC SCHOOL PRE-SCHOOL	2,400[c]	7%
TOTALS	16,300	47%

[a] ACD Day Care. ACD estimates that as of October, 1985, approximately 65% of the City-wide Day Care population was non-fee paying (that is, were from families who were on public assistance or had incomes close to the poverty level).

[b] ACD Head Start. In New York City virtually all children enrolled in Head Start live below poverty.

[c] NYC Human Resources Administration, Community Head Start Needs Assessment, 1984. Estimates of the low-income population in the Public School programs are based on the number of children receiving free lunch (an income-based determination).

TABLE 5

ESTIMATES OF ECONOMICALLY-DISADVANTAGED FOUR-YEAR-OLDS ENROLLED IN PUBLICLY-FUNDED PROGRAMS BY BOROUGH

BOROUGH	EST. FOUR-YEAR-OLD POPULATION[a]	EST. TOTAL AND % LIVING BELOW POVERTY OR ON PUBLIC ASSISTANCE[b]	ESTIMATED TOTAL AND % OF ECONOMICALLY-DISADVANTAGED FOUR-YEAR-OLDS SERVED BY:			ESTIMATED TOTAL AND % OF ECONOMICALLY DISADVANTAGED FOUR-YEAR-OLDS SERVED	ESTIMATED TOTAL AND % OF ECONOMICALLY DISADVANTAGED FOUR-YEAR-OLDS UNSERVED
			ACD HEAD START[c]	ACD DAY CARE[d]	BD/ED PRE-K[e]		
BRONX	19,000	9,500 (50%)	1,750 (18%)	1,850 (19%)	500 (5%)	4,100 (43%)	5,400 (57%)
BROOKLYN	37,000	14,000 (38%)	2,450 (18%)	2,700 (19%)	750 (5%)	5,900 (42%)	8,100 (58%)
MANHATTAN	15,000	5,800 (39%)	2,200 (38%)	1,150 (20%)	750 (13%)	4,100 (71%)	1,700 (29%)
QUEENS	24,000	4,100 (17%)	700 (17%)	800 (20%)	400 (10%)	1,900 (46%)	2,200 (54%)
STATEN ISLAND	5,000	600 (12%)	100 (17%)	100 (17%)	--- --[f]	200 (33%)	400 (67%)
CITYWIDE TOTALS	100,000	34,000 (34%)	7,200 (21%)	6,600 (19%)	2,400 (7%)	16,200 (48%)	17,800 (52%)

NOTE: All data in this table have been rounded to the nearest "50" and "100"; percentages to nearest whole percent.

[a] Based upon projections from various sources, the Commission estimates that the four-year-old population in New York City is 100,000. The distribution among the boroughs is based on the proportionate distribution from the 1980 Census.

[b] Sources: (1) Population Below Poverty. 1980 Census, "Characteristics of the Population." For each borough the figures for children 5-17 living below poverty in 1979 were subtracted from the figures for children under 18 living below poverty. The resulting figure, children under 5 living below poverty, was divided by 5 to estimate the population for each age under 5 living below poverty. (This is a convention used by the City of New York Department of City Planning to estimate sub-groups.)

(2) Population on Public Assistance. HRA Computer Printout, "Small Area Public Assistance Demographics: September, 1984." Data were given for "children under 6" by borough who lived in families receiving public assistance. Assuming an approximately even distribution among ages, the four-year-old population was calculated by dividing the total population under 6 receiving public assistance, by 6.

Following a convention used by HRA in its 1984 Head Start Community Needs Assessment, the table reports the higher of either the number of four-year-olds living below poverty in 1979 or the number receiving public assistance in 1984.

[c] Source: HRA, District Resource Statements, March, 1985. The actual total City-wide enrollment of four-year-olds in Head Start is currently estimated at 7,300. However, since borough data were not available for this figure, the table above uses the FY 86 planned capacity figure. In New York City, virtually all children enrolled in Head Start live below poverty.

[d] Source: HRA, ACD Day Care. To calculate the number of children in Day Care below poverty by borough, the estimated City-wide percentage (65%) of the Day Care population who pay no fee (that is, those who are on public assistance or whose families live at or below the poverty level) was applied to the City-wide estimate of four-year-olds in Day Care. The result was an estimated total of 6,600. To estimate the approximate number of economically-disadvantaged four-year-olds enrolled in Day Care from each borough, the proportionate distribution among the boroughs of four-year-olds living below poverty in 1980--Bronx, 28%; Brooklyn, 41%; Manhattan, 17%; Queens, 12%; and Staten Island, 2%--was applied to the estimated total of 6,600 low-income four-year-olds in Day Care City-wide.

[e] Source: HRA, Community Head Start Needs Assessment, 1984. The index of poverty used here is the number of children receiving free lunch (an income-based determination). The percent of children in each borough in pre-school programs estimated to be economically-disadvantaged was adjusted to reflect the increased enrollment in NYS Experimental Pre-Kindergarten, a program whose enrollment is 90 percent economically-disadvantaged.

[f] There are no Public School pre-school programs in Staten Island.

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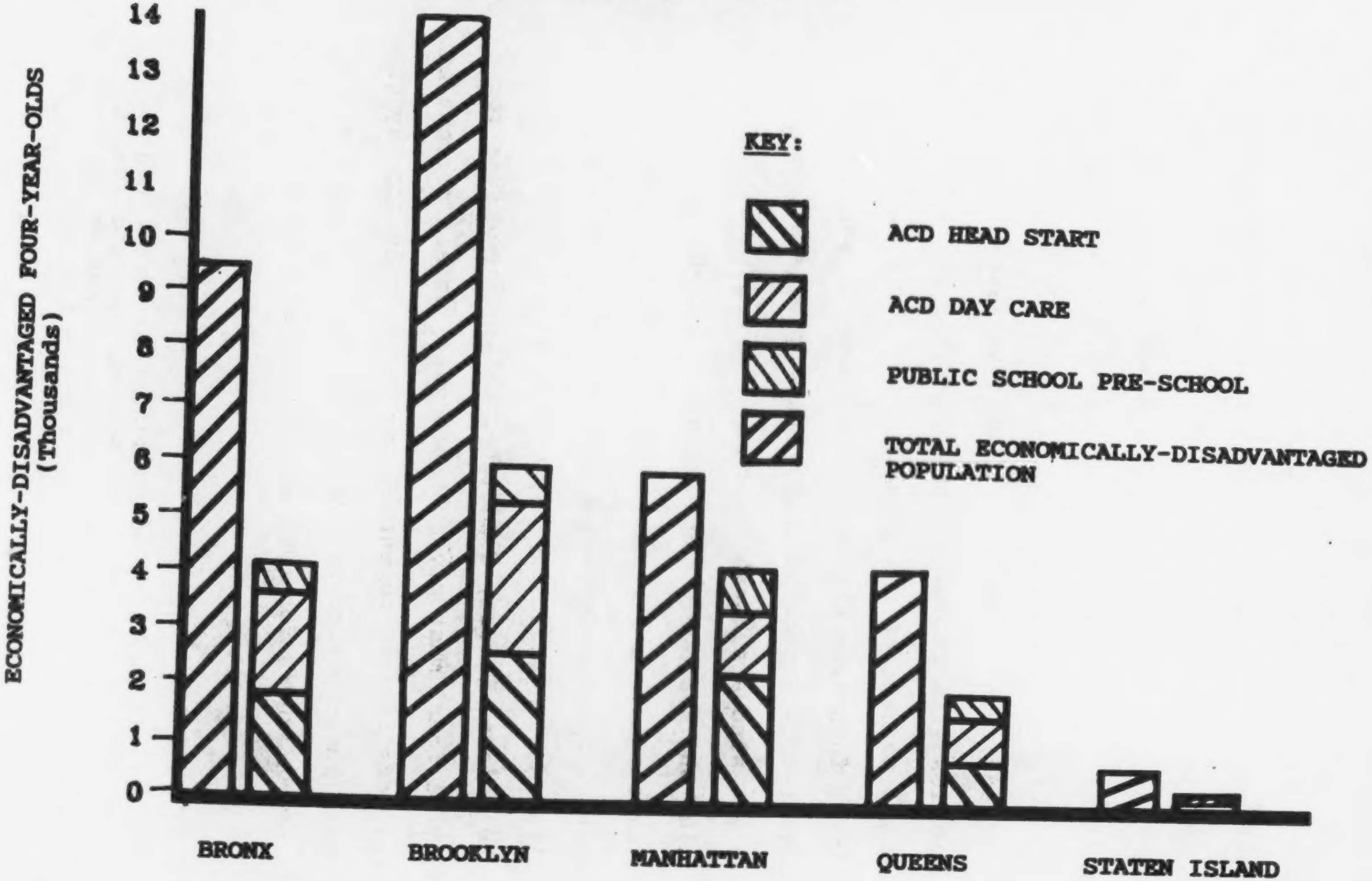
FIGURE 5

ECONOMICALLY-DISADVANTAGED FOUR-YEAR-OLDS SERVED IN PUBLICLY FUNDED PROGRAMS, BY BOROUGH



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prefer a family setting for child care. For others, either there is no slot for them in an existing program or they live in a neighborhood where no public program exists.[24] Among the boroughs, the Bronx and Brooklyn have the highest numbers of unserved economically-disadvantaged four-year-olds.

In addition, there are 26,000 four-year-olds who live in families with income above the poverty level but at or below 200 percent of the poverty level (or $21,300 for a family of four--see Figure 2). Not even 25 percent of these four-year-olds attend publicly-funded pre-school programs. There are also a substantial number of moderate-income families who are above the eligibility cut-offs for free program enrollment for whom enrolling their children in a pre-school program becomes a grim choice. For example, families needing full-day day care and earning 150 percent of the Federal Poverty Guidelines ($15,975 per year for a family of four) must pay $880 per year, or six percent of their gross income, to enroll one child in an ACD Day Care program, thereby forcing pre-school education to compete with expenditures for rent or food. Families earning 200 percent of the Guidelines, or $21,300 per year for a family of four, face ACD Day Care fees of $2,184 per year, 10 percent of their gross income, to enroll one child.

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[24] Not all families would choose to enroll their children in a publicly-funded program were one available. When Public School All-Day Kindergarten became universally-available in 1983-84, enrollment totaled 58,600 (out of approximately 100,000 five-year-olds). This included children coming to school for the first time as well as those transferring from other systems.

As a result of these costs, many families choose not to send their children to public programs even when they are available. For their children, pre-kindergarten often means, instead, an informal care arrangement--such as being left with a group of children at a neighbor's house. Many children stay with relatives. Many others, of course, are left at home alone.

SUMMARY

This chapter focused on the demographic characteristics and pre-school enrollment patterns of the City's four-year-old population. This portrait projects a challenging array of social and economic problems. Two-thirds of the City's estimated 100,000 four-year-olds are minority. Almost half live in households where a language other than English is spoken. Many live in single-parent families--the majority of which are poor. Many have working mothers.

Four-year-olds are distributed unevenly across the City. Moreover, pockets of poor, single-parent and minority families were found to overlap in specific areas of New York, particularly in Washington Heights in northern Manhattan; the West Bronx; and parts of Bushwick, Bedford-Stuyvesant and East New York in Brooklyn.

Review of enrollment data showed that almost half of New York City's four-year-olds are enrolled in some type of early childhood program. Close to one-quarter of the total four-year-old population--22,600 children--are enrolled in pre-school educational programs within one of the three publicly-funded delivery systems--ACD Day Care, Head Start and the Public Schools. At least 24,500 children attend privately-funded programs, one-quarter of which are estimated to be unlicensed.

Of the 22,600 children enrolled in publicly-funded programs, 16,300 or 72 percent come from families living near the poverty level. Nevertheless, public programs do not serve even half of New York City's 24,000 economically-disadvantaged four-year-olds. Approximately 17,700 children in poverty are eligible for, but receive no publicly-funded pre-school experience. In addition, there are 26,000 four-year-olds who live in families with incomes above the poverty level but at or below 200 percent of the poverty level. Not even 25 percent of these four-year-olds attend publicly-funded pre-school programs. Their families either make tremendous sacrifices for them to attend a private program or they do not go at all. In sum, these data suggest huge gaps in availability of pre-school educational programs for thousands of New York City's four-year-olds.

CHAPTER FOUR

PUBLICLY-FUNDED EDUCATIONAL PROGRAMS SERVING FOUR-YEAR-OLDS IN NEW YORK CITY

INTRODUCTION

Almost half of the 100,000 four-year-olds in New York City participate in some type of early childhood program--including public and private day care, nursery school and pre-kindergarten programs, Head Start and developmental family day care. Approximately half of these children (22,600)[1] are in publicly-supported pre-school educational programs. New York City's response to young children has deep historical roots. This chapter describes the evolution and current status of publicly-supported pre-school educational programs in New York City, with special emphasis given to programs serving four-year-olds.

Two City agencies--the Agency for Child Development (ACD) and the Board of Education--administer publicly-suppported pre-school programs for four-year-olds. ACD not only administers publicly-supported day care--it is also a grantee for the federally-funded Head Start program. Head Start and Day Care are different responses to a perceived social need. They have different historical roots and, within ACD, have maintained distinct identities. Each has its own administrative staff and its own budget, program and eligibility monitoring functions. For these reasons, they are discussed separately in this chapter.

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[1] Because this document is primarily concerned with those programs having an explicit educational component, recreational pre-school programs operated by the Department of Parks and Recreation are not discussed in this chapter. See Appendix 1 for a complete discussion of the Department of Parks and Recreation's Pre-School Programs.

PUBLICLY-SUPPORTED DAY CARE IN NEW YORK CITY

DAY CARE IN HISTORICAL CONTEXT

Although commitments to poor (usually immigrant) children and their families began in the latter part of the nineteenth century, long-term public support to day care in New York City really did not begin until the 1940s under Mayor Fiorello LaGuardia's administration. Programs that existed prior to that time were either supported by private monies or had been beneficiaries of short-term federal grants.

"Day nurseries" began in New York City in the late 1800s and continued to flourish until the mid-1920s. Supported by the private monies of wealthy citizens and sponsored by settlement houses, the nurseries provided care to the children of poor, immigrant mothers who worked.[2]

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[2] Some of the early settlement houses remain in existence today and continue their early childhood education functions as delegate agencies of ACD.

Although primarily for children, a day nursery might also offer classes for mothers in cooking, sewing, English and child care techniques.[3] At their peak in 1921, day nurseries served 40,000 poor children in 110 settings in New York City.[4] These nurseries "offered to feed them, wash them a little, keep them from injuring themselves and return them whole and reasonably happy to their parents."[5] Day nurseries were incorporated under State law as charitable institutions. Their board members had these duties: to "make contributions, to raise funds, to employ and instruct matrons and caretakers, to determine the eligibility of children according to their degree of poverty and the families' morality, and to set fees accordingly."[6] The precedent of private involvement in New York City day nurseries (later they became "day care") was firmly established.

By the end of the 1920s, however, the number of day nurseries declined for a variety of reasons: imposition of immigration quotas; emergence of middle-class nursery schools; replacement of matrons and volunteers by more costly professionals; and decreased support from private philanthropists as the Depression began.[7]

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[3] Margaret O'Brien Steinfels, Who's Minding the Children?: The History and Politics of Day Care in America, 1973.

[4] Cornelia Goldsmith, Better Day Care for the Young Child, 1972.

[5] Goldsmith.

[6] Goldsmith.

As a direct response to unemployment during the economically-depressed 1930s, Franklin D. Roosevelt, through his New Deal, created the Works Progress Administration (WPA). This program made federal funds available to publicly support the formation of WPA nursery schools, which furnished jobs for unemployed teachers, social workers, health care workers and cooks, as well as providing education and social services to poor children and their families.[8] By 1937, approximately 40,000 children nationwide attended the WPA nursery schools.[9] In New York City in 1938, there were 14 such schools. One was in a vocational high school building,[10] and "others were in settlement houses or whatever free spaces were available."[11] Some of these were Housing Authority spaces.[12] As the WPA era ended and federal funds were withdrawn from the nurseries, the numbers of WPA nursery programs declined nationwide.[13]

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[7] Steinfels.

[8] Mrs. Rose A. Cahan, "The WPA Nursery School and Parent Education Project in New York City," an address delivered before a meeting of the New York State Council of Nursery Schools, New York City, December 17, 1938.

[9] Steinfels.

[10] Cahan.

[11] Bernice H. Fleiss, The Relationship of the Mayor's Committee on Wartime Care of Children to Day Care in New York City, 1962.

[12] Part of the WPA program in New York City was the housing development agency (HUD) which built public housing
(Footnote Continued)

In the 1940s, two important events became the impetus for the formation of day care programs as we now know them in New York City. One event was the entry of the United States into World War II in 1941, which created a need for women to work in the war industry labor force. The second was the proposed closing of WPA nurseries in 1943, which would leave New York City mothers without a child care option.[14]

Mayor LaGuardia appointed a Committee on Wartime Care of Children as a response to public pressure from working women concerned about the discontinuance of the WPA nurseries when the federal government withdrew its financial support in 1943. Although the federal Lanham Act of 1941 made federal dollars available to establish day care centers in "war-impacted areas," New York City did not qualify to receive this funding because it was not designated a "war-impacted area."[15] In order to continue some of the City's WPA-established nursery programs, Mayor LaGuardia

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(Footnote Continued)
that included space for day care centers (WPA nurseries). Community Service Society of New York, The Public Voluntary Agency Sponsored Day Care Program for Children in New York City, 1965.

[13] Fleiss.

[14] Fleiss.

[15] Steinfels.

"turned to Albany and entered the New York State tri-partite plan for supporting day care."[16] Under this plan, New York State would contribute one-third of the operating costs, the City one-third and parents and sponsoring agencies the remaining share.

After completing financial arrangements, Mayor LaGuardia made two major decisions which affected the future administration and support of day care programs in New York City. First, he decided to continue the programs' sponsorships by the boards of individual agencies; and second, in 1946, he placed the administration of programs within the New York City Department of Welfare. The Mayor's decisions were based on the fact that even though "the Committee on Wartime Care of Children had planned to give the Board of Education supervisory control of the former WPA nurseries while the Welfare Department would administer funds through the State War Council,"[17] he noted that the Board of Education legally could not charge tuition or collect fees from nursery children.

A key agency involved over time in day care has been New York City's Department of Health. With the issuance of the 1895 Municipal Sanitary Code, the Department of Health first became involved with issuing permits to children's facilities. In 1914, the Bureau of Child Hygiene within the Department of Health first required that children attending nurseries receive regular physical examinations.[18] Active involvement continued during Mayor LaGuardia's administration when the Director of the Bureau of Child Hygiene surveyed the existing child care facilities in an attempt to evaluate the adequateness of the programs, many of which had been hastily opened during the war years. The result was a guide, really the first effort by a City department to provide some minimal standards for day care through the City. In 1943, the Municipal Sanitary Code was revised, and its regulations specified "the physical plant, care of foodstuffs, admissions, health and medical care, staffs, and records to be kept" before a facility could receive its City permit.[19]

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[16] Fleiss.

[17] Fleiss.

As a result of the work of the Committee on Wartime Care of Children, the involvement of City agencies, sponsoring agencies, parents, concerned citizens, and an active role by the Day Care Council,[20] 17 day care programs were created from the former WPA nurseries.[21] "These nurseries, with their sponsoring agencies, formed the nucleus from which the City's day care program for working mothers began."[22]

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[18] Fleiss.

[19] Fleiss.

[20] The Day Care Council was organized in April, 1948, in New York City. Each agency which operated a child care center under the Department of Welfare had a representative on the Council. At the time of its initial organization, "the Council took an active part in interpreting the day care program to the public, and was also deeply involved in efforts to secure better standards, higher salaries and increased funds for day care." Fleiss.

The precedent for the provision of public funds to day care programs was established by the mid-1940s, and continues to this day in New York City. It is important to keep in mind, however, that day care programs in the City represent a mix of private sector involvement and government support. The involvement of private sponsoring agencies as well as those which administer public funds and set guidelines and standards provides the unique features of the City's day care programs.

Day care in the 1950s can be characterized by a relative stability of services, perhaps because nationally there was a lack of interest in day care and in the needs of working mothers. However, in New York State, legislation was passed which provided 50/50 matching State funds to day care programs.[23]

Programs for young children were revitalized during the 1960s and early 1970s nationally as well as in New York

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[21] Fleiss.

[22] Fleiss.

[23] Georgia L. McMurray, "An Historical Perspective of Child Care in New York City," Testimony before the Early Childhood Education Commission, October 29, 1985.

City. "Ideas, some new and some already in existence but not formerly utilized in early childhood education, flowed in as concern for the young child reached unprecedented fervor while early childhood education was being swept into the stream of programs that were part of the War on Poverty."[24] In 1962, additional federal support for day care derived from funds appropriated through the Public Welfare Amendments.[25] President Lyndon Baines Johnson and the "Great Society" extended federally funded programs to young children.[26] Public momentum contributed to the formation of the first National Conference on Day Care Services, held in 1965.[27]

In 1967, Congress amended the Social Security Act to permit Title IV-A and Title IV-B monies to be granted to the states on a three-to-one matching basis. These amendments "became the primary source for day care funds,"[28] and supported a rapid expansion of programs.

> These funds were intended primarily to meet the needs of mothers receiving AFDC, past or potential welfare families, or women in work-training programs;...and they were limited only by the ability of state and

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[24] Evelyn Weber, Ideas Influencing Early Childhood Education, 1984.

[25] McMurray.

[26] Weber.

[27] Steinfels.

[28] Steinfels.

local governments or private sources like United Fund to meet 25 percent of the funding.[29]

Between 1967 and 1972, the Human Resources Administration (HRA) worked with community-based organizations to open up hundreds of new day care centers, using the federal funds which were then uncapped. During that period, public funding in the City for day care grew from $7 million to $170 million annually.[30] New York City managed the funds through a 75 percent federal allotment, matched with a 12.5 percent State and 12.5 percent City allocation. Throughout this period, the sponsoring agencies remained involved as they had in the past, although control was shifted to the federal government for determining program purpose, staff and eligibility requirements.[31]

The 1972 federal Revenue Sharing Act put a cap on the amount of Social Security funds (Titles IV-A and IV-B) available for day care programs. The New York City day care community suddenly was forced into competition with, for example, the police and fire departments, for a limited amount of government dollars. New York had "large day care systems" and its "budgets far exceeded the new limitations."[32] Less money caused centers in New York City to close. Some did continue, particularly those which directly leased space through a long-term contract with the City.

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[29] Steinfels.

[30] New York State Department of Social Services, Overview of the New York State Department of Social Services Role in Day Care, 1985.

[31] Oral History: interviews with individuals involved in community Day Care programs, 1985.

In the midst of this rapid expansion, Mayor John Lindsay appointed an Early Childhood Development Task Force that issued its report, The Children are Waiting, in July, 1970. This report urged the establishment of an office within HRA to "plan, administer and fund all publicly-funded early childhood programs except those operated by the Board of Education."[33] The Agency for Child Development was created in 1971.

THE CURRENT STATUS OF PUBLICLY-SUPPORTED DAY CARE

The Agency for Child Development (ACD) is an administrative unit within HRA.[34] ACD administers City-wide publicly-funded day care services for more than 42,000 children ages two months to 12 years. The majority of these children are of pre-school age (ages 3 through 5); 24 percent or about 10,000 are four years old.

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[32] Steinfels.

[33] City of New York Human Resources Administration, The Children Are Waiting: The Report of the Mayor's Task Force on Early Childhood Development, 1970.

[34] A recent Mayoral Commission in its 1985 Report, Outline for Action: New Directions for HRA, recommended a reorganization of HRA that would join ACD and other services for children and families together in a new Family and Children's Services Agency. The intent is for this Agency to function within a decentralized district office structure and provide a unified family-focused delivery system. Implementation of the recommendation to restructure HRA has begun. To date, however, these changes have not affected ACD either administratively or programmatically.

Delivery Structure

ACD is a contract agency. The actual programs are operated by sponsoring agencies which, through their Boards of Directors, contract with ACD to provide day care services at the local level. ACD currently contracts with 211 non-profit agencies, including, among them, community organizations, settlement houses, churches and parent groups.

Both Group Day Care and Family Day Care services are available to eligible children. Group Day Care programs are center-based programs consisting of classroom groups of 10 to 25 children (depending upon age of child) supervised by three professional teachers and aides. Family Day Care is provided to groups of one to six children of varying ages in the homes of licensed providers. With the exception of school-aged day care, most of the care provided is full time, 10-hour-a-day care, with programs operating from 8 a.m. until 6 p.m., five days a week, 250 days a year.

Group Day Care. Approximately six out of every seven children (34,900) in publicly-funded day care are enrolled in Group Day Care. About three-fourths of these are pre-school-aged children; another one-quarter are school-aged children (ages 6 through 12); and less than one percent are children younger than three years of age.

There are three types of Group Day Care contract arrangements: (1) fully-funded centers in which the entire enrollment is referred through and primarily funded by ACD (ACD currently funds 325 programs of this type which serve over 32,000 children); (2) limited purchase of service (LPOS) programs in which ACD purchases only a limited number of slots (a maximum of one less than 50 percent of the provider's capacity) from a private not-for-profit day care center (there are currently 23 LPOS programs serving 551 children); and (3) voucher programs through which private day care programs located in areas where there are no publicly-funded centers may agree to accept children through a vouchering procedure. In Fiscal Year 1986, 858 children are expected to be served through such an arrangement.

Family Day Care. Approximately one-third of the 6,800 children enrolled in publicly-funded Family Day Care are infants ranging in age from two months to two years; another one-half are pre-school-aged children; and the remaining are children ages 6 through 12 for whom after-school care is provided.

There are two types of ACD fully-funded Family Day Care programs. Thirty-six agencies support clusters of home-based Family Day Care providers, known as Cluster programs. These programs can serve approximately 2,400 children. Cluster programs share office space and some supportive services with Group Day Care centers. The remaining 21 programs, known as Career programs, are run by independent providers and can serve another 2,800 children. These programs developed, in part, as a way of creating employment opportunities for the provider parents. In addition, there are 13 LPOS Family Day Care programs. These programs are funded much like Group LPOS programs--ACD purchases services on a limited basis from voluntary agencies. Approximately 2,386 children are served through LPOS Family Day Care programs.

Eligibility

The primary goal of publicly-funded day care (hereafter referred to as Day Care) is to help families maintain or obtain employment. To be eligible to participate in an ACD Day Care program, children must be from families who meet federal, State and City social and financial eligibility criteria.[35]

Social Eligibility. In most cases, parents must be employed, in training or looking for work. In other cases, child welfare reasons, including protective or preventive goals, prevail. Federal and State regulations only stipulate the basic guidelines for eligibility; e.g., the parent must be employed or in training to be eligible for Title IV-A or IV-C funds. HRA/ACD refines the guidelines and further specifies the actual conditions for eligibility;

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[35] These criteria are fully detailed in ACD's Eligibility Handbook, June, 1985.

e.g., the parent must be working at least 20 hours per week, or be in training for at least 12 hours per week.

Financial Eligibility. Financial eligibility is dependent on family income, adjusted for household size.[36] Families beneath the following income ceilings are eligible for care: $24,781 for a family of two; $29,935 for a family of four; up to $35,078 for a family of six. Fees are charged on a sliding scale according to income level, family size, hours of care and number of children in care. Fees range from $1.00 per week for one child in part-time care to $113 per week for two or more children in full-time care. Approximately 65 percent of Day Care-eligible children are from families with annual incomes beneath the fee entry point: $6,870 for a family of two, $10,400 for a family of four and $13,940 for a family of six. These families pay nothing. The average fee paid by the remaining families is $10.43 per week per child. (In cases where the child's welfare is threatened by abuse or neglect, service is mandated without regard to family income and families pay no fees.)

Parents must submit to a recertification of their eligibility every three or six months depending on the criteria under which they were considered eligible for service.

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[36] Specific criteria are negotiated by ACD with the State.

Funding Streams

ACD Day Care is funded through a variety of public sources, most of which flow through the New York State Department of Social Services (NYSDSS). Sources include:

- Title XX--"Social Service Block Grant"--is the largest single source of Day Care funds, comprising 63 percent of total revenues when the State and City shares are included. These federal monies are allocated to the states based on a federal "needs" formula. The states, in turn, allocate funds to their counties to use for a variety of social service programs. New York City uses 65 to 70 percent of its allocation for Day Care.
- Title IV-A Cash Grants--"Income Maintenance Money"--are funds that pay $160/child/month of the cost of care for parents receiving public assistance who are working or who are in approved vocational training programs or who are under the age of 21 and still in high school. (The balance of the cost of care is picked up by Title XX or City Tax Levy funds.)
- Title IV-C WIN--"Work Incentive Program"-- specifies voluntary participation in an approved training program for mothers receiving public assistance who have children under the age of six and mandatory participation for mothers with a

youngest child over the age of six (or under the age of six if the parent has no child care responsibilities).

- EAF--"Emergency Assistance to Families"--are funds for children and families living in public shelters.
- CWRA-Preventive/Protective--"Child Welfare Reform Act"--NYSDSS regulations mandate children as eligible for protective/preventive services in order to avoid or shorten their placement in foster care.
- Community Development Block Grant--funds pay the costs of 19 programs in low-income areas.
- Non-Reimbursables--unmatched City Tax Levy funds which cover the cost of services that are non-reimbursable under federal and State laws and regulations.

Table 6 shows ACD's Day Care revenues for Fiscal Year 1986. ACD will be operating at a budget of $173 million; the City Tax Levy share will be $51.3 million or 30 percent of the total budget.

TABLE 6

AGENCY FOR CHILD DEVELOPMENT
Fiscal Year 1986
Revenue Summary - Day Care Operating Budget

(Thousands of Dollars)	REVENUE SUMMARY				
	GROSS	TAX LEVY	FED.	STATE	CITY
Title XX	$108,563	$13,570	75.0%	12.5%	12.5%
Title IV-A-Cash Grants	16,561	4,140	50.0%	25.0%	25.0%
Title IV-C-WIN	5,000	250	90.0%	5.0%	5.0%
EAF	1,300	325	50.0%	25.0%	25.0%
CWRA - Preventive	5,167	1,292	---	75.0%	25.0%
CWRA - Protective	585	293	---	50.0%	50.0%
Community Dev. Block Grant	4,863	---	100.0%	---	---
Non-Reimbursables	31,443	31,443	---	---	100.0%
TOTAL	$173,482	$51,313			

SOURCE: Agency for Child Development, Office of Management Operations.
NOTE: These figures do not include $8.5 million the delegate agencies receive in parent fees or $22 million in USDA funds.

Resource Areas

ACD maintains local field offices City-wide within administrative areas called Resource Areas. The geographical boundaries of these have fluctuated over time according to service needs. When first created shortly after ACD's own establishment, there were ten Resource Areas located throughout all five boroughs; currently there are seven which are located in the Bronx (1), Brooklyn (3), Manhattan (2) and Queens (1).

Resource Areas serve four primary functions. These are to: (1) certify eligibility requirements of families requesting or receiving Day Care services; (2) refer eligible families to programs in their areas where slots are available; (3) monitor programs for their compliance with ACD standards and New York City Health Code requirements; and (4) provide technical assistance and training to staff. City-wide, 40 Program Consultants (formerly known as Educational Consultants) perform technical assistance and monitoring functions for programs in their respective areas. They are responsible for an average of 13 programs apiece, each of which they try to visit at least once every three weeks.

Teaching Personnel

Staffing Requirements. Adult-child ratios in group care settings are established by the New York City Health Code according to the ages of the children being served. These range from one adult to four children in a total class of eight for infants below the age of six months, to one adult to ten children in a class of 25 when school-age care is being provided. For four-year-olds the maximum class size is 20 with an overall ratio of one adult to ten children. Classes are staffed by one full-time group teacher, one full-time assistant teacher and one part-time teacher's aide. This staffing pattern allows for child care to be 50 hours per week even though full-time staff work 38 hours per week.

Staff Qualifications. The New York City Health Code likewise specifies staff qualifications for teachers and assistant teachers. A group teacher must be certified by the New York State Education Department (SED) in Early Childhood or Elementary Education (N-6 grade) or be within 32 credits of a provisional New York State certificate with a study plan to complete a minimum of six credits per year and one year of experience as an assistant or aide in a pre-school class.

An assistant teacher must have a high school diploma and be at least 19 years of age. In addition, ACD requires teacher's aides to have an eighth-grade reading and writing ability and be at least 19 years of age.

Staff Salaries. Contract negotiations have recently been completed between Local 205, Community and Social Agency Employer Union, District Council 1707 and the City. Entry-level salaries for group teachers increased by $1,641 from $15,359 to $17,000; assistant teacher salaries increased to $14,795 from $13,450. Staff salaries are believed by many to be a major factor in Day Care's 21 percent group teacher vacancy rate. For September, 1985, Day Care reported 348 group teacher vacancies City-wide.[37]

Staff Development. Staff development is a local function supported by technical assistance from the ACD Resource Area and central office staff. The amount of time devoted to training, therefore, varies from program to program, depending on a given program's overall needs. The ACD Central Office also identifies training needs and in some cases (such as the recent Child Abuse and Maltreatment Identification and Reporting Training) will mandate attendance at a training session.

Title XX funds also support training efforts (in excess of $734,000 for Fiscal Year 1986). NYSDSS assesses priorities State-wide and then lets requests for proposals to local educational institutions, selecting proposals based on the institution's ability to train large numbers of people. (This year Adelphi University is conducting a Child Abuse and Neglect module.) It is difficult to have consistency in training from year to year, however, since Title XX funds only allow for one-year contracts.

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[37] Vacancies are filled by "study plan" teachers--teachers in the process of achieving full credentials, but not yet certified, according to the New York City Health Code.

Monitoring and Evaluation

NYSDSS has responsibility for licensing all day care centers in the state, excluding New York City. In the City, day care centers operate under licenses issued by the New York City Department of Health (DOH). The City is exempted from NYSDSS licensing jurisdiction by Section 390 of the State Social Services Law. Therefore, there is no State oversight of New York City DOH licensing procedures. In addition, ACD has developed its own Handbook of Standards that incorporates the Health Code requirements with what ACD considers essential program elements.

Programs are monitored regularly to see if they meet DOH requirements and ACD standards. The Resource Area Program Consultants make frequent (once every three weeks) on-site visits, during which they monitor program compliance and provide technical assistance. In addition, there is an annual assessment of total program operations. Conducted by ACD Central Office Program Assessors, the annual assessment includes ten areas:

- Programs for Children/Child Development
- Child Abuse and Neglect
- Safety
- Health and Emergency Procedures
- Nutrition
- Physical Environment
- Staff/Provider Parents

- Social Services
- Parent Participation and Involvement
- Sponsoring Board Operations

When a program is found to be out of compliance, the Program Consultants, along with ACD Central Office staff, work with the program as needed to assure compliance.

Beginning with the settlement house movement, there has been an on-going commitment in New York City to poor and working families. This is reflected in the history of day care programs in the City since the late nineteenth century, and is no less true today.

HEAD START

HEAD START IN HISTORICAL CONTEXT

Head Start was created by the federal government in 1964, "based on the premise that all children share certain needs, and that children of low income families, in particular, can benefit from a comprehensive developmental program to meet these needs."[38] These needs are to be addressed by program components that are targeted to four specific areas that impact on a Head Start child and his/her family: educational services; health services, including physical and mental; social services; and parent involvement.

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[38] United States Department of Health and Human Services, Head Start Performance Standards, Subpart A, 1304 1-3(a).

During the summer of 1965 in New York City, Head Start programs began as a "two month, half-day, summer program for four- and five-year-olds who will be entering kindergarten and first grade in the fall."[39] A full-year program for three- to five-year-olds was also planned. Head Start programs were first administered in the City by the Economic Opportunity Commission, which administered federal poverty funds. Later, when HRA came into existence, Head Start was moved into the Community Development Agency within HRA and operated through delegate agencies, under the policy direction of the Council Against Poverty.[40] These summer programs of 1965 began in church sites, Housing Authority spaces, space provided through the Archdiocese of New York and the Brooklyn Diocese, and Board of Education classrooms. The average number of children served in all the programs was 5,000 to 6,000, with approximately 30 children per program.[41] New York City received $10 million for its 1965 programs.

However, in 1966, the Office of Economic Opportunity (OEO) reduced New York City's portion to $6.6 million due to

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[39] Institute of Public Administration, Ladder to Learning, A Coordinated Approach to Programs for Young Children in New York City, 1967.

[40] City of New York Human Resources Administration, The Children Are Waiting.

[41] Oral History: Interviews with Head Start personnel, 1985.

"problems with the rules and regulations at the federal level."[42] From February to the summer of 1966, a smaller number of programs were operated by the Board and other agencies, such as the Archdiocese and Harlem Youth Opportunities Unlimited.[43] In the summer, however, a full-force Head Start program operated in many sites in New York City communities.[44]

Summer programs in the City were reviewed in 1967 by federal Head Start evaluators and "found to have inappropriate materials and equipment and a great lack of parental involvement [one of Head Start's mandates]." They were "unsatisfactory, and were subsequently closed."[45] In spite of this, monies were then allocated to New York City to operate full-year Head Start programs for about 6,000 children.

During the 1970s, Head Start programs expanded only modestly, as this was a period of financial stress for early education programs in general. City Head Start programs withstood financial cuts and maintained their programs in spite of low staff salaries.[46]

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[42] Institute of Public Administration.

[43] Oral History: Head Start.

[44] Oral History.

[45] Oral History.

[46] Oral History.

In 1973, as a result of a 1971 executive order by Mayor Lindsay, Head Start in New York City moved from the Community Development Agency into the Agency for Child Development.

A feature unique to the Head Start program was its 1972 mandate that at least 10 percent of enrollment include handicapped children; beginning in 1976, specific funds were targeted to fulfill the mandate. "Handicapped children in Head Start are to receive the full-range of Head Start services, as well as services tailored to their special needs."[47] In addition, parents of handicapped children in Head Start were also to receive help.

A major federal expansion of Head Start occurred in the early 1980s. In 1980, in New York City alone, 2,400 additional children were added to Head Start programs.[48] In the 15-year anniversary report written at the request of President Carter, Head Start clearly was found to be an important program.[49]

New York City Head Start enrollment has doubled in the past six years.

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[47] United States Department of Health and Human Services, Report: Head Start in the 1980s, 1980.

[48] Oral History.

[49] United States Department of Health and Human Services.

CURRENT STATUS OF HEAD START IN NEW YORK CITY

The Administration for Children, Youth and Families (ACYF), within the federal Department of Health and Human Services' Office of Human Development Services, oversees the national Head Start program. For 1986, HRA has applied for approximately $37.3 million in federal Head Start funds to serve a peak enrollment of 11,600 pre-school children and their families. As one of the seven "super grantees" in the country, New York is considered to be the largest in the number of children it serves. Four ACD Head Start delegate agencies, for example, each serve the same number of children as the entire Head Start program in Jersey City.

Delivery Structure

New York City is within federal Region II.[50] Because Head Start funds go directly from the federal government to the operating entities, the Regional Office maintains direct involvement with local planning, monitoring and evaluation of the use of Head Start funds.

Locally, HRA/ACD is the primary Head Start grantee in New York City.[51] As with Day Care, ACD contracts with local not-for-profit agencies to run Head Start programs.

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[50] Also included in Region II are New Jersey, the U.S. Virgin Islands, and Puerto Rico.

[51] Six agencies receive funds directly from the federal government. These grantees serve, among them, a total capacity of 340 children.

Sixty-three delegate agencies operate Head Start programs in 150 sites throughout the City. Some of the delegate agencies also have contracts to run ACD Day Care programs. Administratively and operationally, however, the programs remain separate.

The ACD Head Start operates a half-day, five-day-a-week, 48- to 52-week-a-year, center-based program. The majority of programs are double sessions, three-and-one-half hours in length. Both the morning and afternoon sessions include lunch and snack. In addition, breakfast is provided to certain children based on need.

There are also 800 children served in full-day programs which operate for six-and-one-quarter hours. This includes 120 children who live in hotels. The other 680 children are enrolled in programs which were started during Head Start's first year of operation when programs could select a full- or part-day model. Now, ACD Head Start only maintains or funds new full-day programs when a demonstrated, documented need exists. An example of that is the funding of programs for hotel children.

Eligibility

Income Eligibility. Ninety percent of Head Start's enrollment must be children who live in families with incomes below the Federal Poverty Guidelines. ACD Head

Start estimates that virtually all of its enrollment lives below poverty.[52]

Mandate for Handicapped Children. In 1972, a Congressional mandate required that at least 10 percent of the Head Start enrollment must consist of handicapped children.[53] These children do not need to meet the income-eligibility requirements, although low-income children are given preference. In New York City, 12 percent of the total ACD Head Start enrollment is classified as handicapped.

Age Eligibility. The Head Start program was designed as a pre-school program for children ages three to school entry--usually age five. Age of "school entry" is determined by the point at which the child is eligible to enter the public school. Because kindergarten has been available to most children in the City since Head Start began, New York City Head Start has always emphasized the enrollment of four-year-olds, who today constitute 63 percent of Head Start's enrollment. It still maintains a small five-year-old enrollment, but these children are generally children who turn five during the program year, or who are handicapped or have some other special need.

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[52] Based upon U.S. Department of Agriculture (USDA) Child Care Food Program reimbursement rates for the entire ACD Head Start enrollment, 90 percent of participating children are free-lunch eligible. An additional five percent are eligible for reduced lunch, leaving five percent or approximately 365 four-year-olds not eligible for USDA reimbursement. (These children are from families with incomes above 185% of the poverty rate or $19,600 for a family of four.)

[53] The term "handicapped children" includes "mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, crippled, or other health impaired children who by reason thereof require special education and related services." United States Department of Health and Human Services, Head Start Performance Standards, issued 1975, revised 1981.

Funding Streams

Funding for ACD Head Start comes from two federal sources: Title V and USDA. In Program Year 1985, they together constituted $40.1 million in federal funds ($36.8 million in Title V funds and $3.3 million in USDA reimbursements). Head Start funds are allocated by the federal government, first by region and then by state and county. ACD Head Start estimates that the City has 65 percent of New York State's total Head Start-eligible but unserved children, yet receives only 50 percent of the State's allocation, thus underfinancing New York City by 15 percent.

Title V requires that a grantee contribute an additional 20 percent of its total award in the form of a non-federal match of in-cash or in-kind services. In New York City, the central administration of Head Start and its delegate agencies jointly contribute to this 20 percent. New York City HRA pays the rent for Head Start's central administration office. Since this amount, which is calculated at fair market value, is not charged against the Title V budget, it is considered in-kind service and counts toward the City's 20 percent liability.

Individual delegate agencies provide in-kind services in various ways. Some negotiate for rents which are below fair market value. Agencies also solicit professionals such as doctors and dentists to provide services free of charge. These services are then calculated at their fair market value and also become part of the in-kind service contribution.

Teaching Personnel

Staffing Requirements. Adult-child ratios, as specified in the New York City Health Code, require that for four-year-olds, class size cannot exceed 20 children and the ratio must be maintained at one teacher and one teacher assistant per class. In Head Start programs, this ratio is enriched by the presence of a parent volunteer.

Staffing Qualifications. Generally, Head Start's minimum qualifications, as designated in its Head Start Performance Standards, are superseded by the New York City Health Code. A Head Start teacher must have State certification in Early Childhood or Elementary Education or have completed 90 college credits and be enrolled in a certified study plan; plus have either (1) 150 hours of student teaching in a kindergarten or pre-kindergarten program, or (2) one year of paid experience in a kindergarten or a pre-kindergarten as either an assistant or an aide. As with Day Care staff, a teacher assistant must have a high school diploma and be at least 19 years of age.

In addition to these qualifications, the Head Start Performance Standards stipulate that staff must be "reflective of the racial and ethnic population of the children in the program." Specifically, this it to be done by:

> (i) Including persons who speak the primary language of the children and are knowledgeable about their heritage; and, at a minimum, when a majority of the children speak a language other than English, at least one teacher or aide interacting regularly with the children must speak their language; and
>
> (ii) Where only a few children, or a single child, speak a language different from the rest, one adult in the center should be available to communicate in the native language.[54]

Staff Salaries. Contract negotiations between the City and Local 95, District Council 1707, have recently been completed. Entry-level salaries for certified head teachers increased from $14,863 to $17,000. Head Start's certified teacher vacancy rate is higher than ACD Day Care's, a fact believed by many to be a function of having for so long paid the lowest salaries of the three systems. In November, 1985, ACD Head Start counted 60 vacancies out of 356 teaching positions for a 17 percent vacancy rate. However, if the 103 "study plan" teachers--those in the process of achieving full credentials but not yet certified according to the New York City Health Code--are included, the rate would reach 45 percent.[55] These vacancies are filled by parents and volunteers, supervised by the program's Education Director.

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[54] United States Department of Health and Human Services, Head Start Program Performance Standards, Subpart B, §1304.2-2(C)(2).

Staff Development. Training funds are specially earmarked within ACD's total Head Start grant award (this year amounting to approximately $170,000). These funds are administered by the federal Regional Office. The central ACD Head Start office determines priorities for training and technical assistance through validation of the delegate agencies' annual self-assessments and reviews of audit reports, Program Information Reports and other needs assessments. This year, because some centers lack sufficient qualified personnel, one of the staff development targets is career development. Head Start, therefore, is using some of its training monies to help teacher assistants acquire the necessary credits to become credentialed teachers.

Through an open, competitive bidding process, the federal Regional Office also funds direct consultant activity. New York University, for example, is a recipient of a Regional Resource Grant. It offers training and technical assistance to Head Start grantees within Region II.

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[55] Not surprisingly, Head Start programs that responded to the Commission's survey to licensed pre-school programs reported relatively more difficulty in recruiting head teachers than the ACD Day Care programs that responded. Both, however, reported considerable difficulty.

On the local level, there are a variety of training initiatives. Delegate agencies conduct some of their own staff development, the specific nature of which is determined on a program-by-program basis. Generally, programs use people on their own staffs (i.e., social workers, psychologists) as training resources. In Queens and the Bronx, the delegate agencies pool their resources and collaborate in joint training sessions. In all, Head Start teaching staff participate in one day of in-service training per month (12 days per year).

For new delegate agencies or agencies with new staff, the ACD central Head Start staff conduct about five to seven full working days of training. This is supplemented by on-site technical assistance.

Monitoring and Evaluation

Head Start programs are mandated to do yearly self-assessments based on the Head Start Performance Standards. ACD Head Start, as the federal grantee, validates the assessment with the involvement of its delegate agencies, and submits its results to the ACYF Regional Office.

ACYF has developed a standardized evaluation instrument, the Head Start Program Performance Standards Self-Assessment/Validation Instrument (SAVI), which itemizes areas of required compliance:

- Education
- Health Services, including medical and dental, mental health and nutrition

- Social Service
- Parental Involvement
- Administrative Management

New York City, with ACYF's approval, has incorporated the licensing requirements of the City Health Code into the New York City Self-Assessment Validation Monitoring Guide. Each delegate agency recruits a validation team from among Board members, parents and staff to complete the New York City SAVI. They submit the completed instrument to ACD Head Start.

ACD's Head Start Monitoring Assessment Unit conducts on-site visits to confirm the delegate agencies' self-assessments.[56] When areas are found that are in need of correction, a Corrective Action Plan is developed with a timeline for meeting compliance. Intensive follow-up is done until compliance is ensured.

Over the past 20 years, Head Start has been a popular program at both the local and federal levels. Over the course of five Presidential administrations and varying political climates, Head Start has not only maintained, but strengthened, its popularity and support.

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[56] For the past two years, the Monitoring Assessment Unit has been doing 100 percent assessment; that is, they are visiting every ACD Head Start program.

THE HISTORICAL INVOLVEMENT OF THE PUBLIC SCHOOLS IN PRE-SCHOOL EDUCATION

The New York City Board of Education's role in pre-school education has evolved over the last four decades. Even though early childhood educators at the Board of Education have always recognized the importance of a pre-kindergarten education, programs have been possible only when resources existed. Two factors have determined the role of the Board of Education in pre-kindergarten education: (1) the availability of funding to pay for salaries, administration and materials; and (2) the availability of space within the public school system to house the programs.[57]

These two themes have remained constant since the mid-1940s. When World War II ended and wartime nursery programs were discontinued, the City requested that the Board of Education absorb some of the nurseries.[58] However, the Board was unable to provide nursery services for lack of adequate space in the public schools.[59]

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[57] Oral History: Interviews with Board of Education administrators, 1985.

[58] Fleiss.

[59] Oral History.

From the mid-1940s and into the 1950s, pre-school programs in the public schools were practically non-existent--with some exceptions. Seven programs were located in vocational schools to train teenagers in child care, food preparation and housekeeping. In addition, there were several programs in public schools that were used for observation and teacher training workshops. However, these programs were discontinued in 1953 when financial support ceased.[60]

The Board of Education's focus at that time was on kindergartens and the early elementary grades. During this period, the Bureau of Kindergarten was established, with its role to develop curricula, offer technical assistance and train teachers in early childhood education. Later in the decade, the Board changed the name of the Kindergarten Bureau to the Bureau of Early Childhood Education, which encompassed a broader range of public school programs from kindergarten to third grade.[61]

Programs were revitalized during the 1960s as funds began to flow for the education of young children. In New York City, the Board of Education's concern over school failure of young children led to a cooperative venture.[62] In 1961, the Board of Education and Martin and Cynthia Deutsch of the Institute for Developmental Studies at New York University proposed a project to address the lack of school achievement by poor City children.[63] A grant from the Ford Foundation in 1963 made the project a reality and the Board of Education, in conjunction with the Deutsches, established pre-school classes in six elementary schools.[64] "In each pre-school classroom, one teacher plus a specially trained teacher aide served groups of 17 children."[65] The project operated from 1961 to 1970,[66] and became one of the few long-term research studies on the effects of early childhood programs. "Many innovations were adopted which have become commonplace, such as breakfast programs and teacher aides in early childhood classrooms. Also, a body of curriculum plans and materials was developed which is still available."[67]

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[60] Board of Education, City of New York, Community School District 3, "District Staff Meeting Notes," March 14, 1966.

[61] Oral History.

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[62] Board of Education.

[63] Institute of Public Administration.

[64] Board of Education.

[65] Martin Deutsch, Theresa J. Jordan, and Cynthia P. Deutsch, Long-Term Effects of Early Intervention: Summary of Selected Findings, 1985.

[66] Deutsch, et al.

[67] Deutsch, et al.

The investment of federal dollars in early education for economically disadvantaged children was a result of the passage of the Economic Opportunity and Civil Rights Act and the Elementary and Secondary Education Act, both of which gave programs for young children a big boost.[68] Beginning in 1964, the Board of Education used federal anti-poverty funds to open pre-school classes at a steadily increasing rate. With Title I (ESEA) dollars, the Board of Education started 65 pre-kindergarten classes for disadvantaged children in 24 elementary schools, and opened an additional 30 pre-school classes in 10 of the "More Effective Schools" (schools specifically established to provide enriched elementary curricula).[69]

Throughout the 1960s, the Board of Education continued its active involvement in pre-school education. It was selected to be one of the agencies to demonstrate the newly-formed and federally-funded Head Start program. During the summers of 1965 and 1966, the Board provided classroom space for an eight-week Head Start program for City pre-school children.[70] In October, 1965, the Board used federal OEO and City tax-levy monies to set up 179 pre-kindergarten classes in City Public Schools.[71] Additional dollars from OEO were earmarked for the establishment of 23 more pre-school classes to follow up the pre-school experience of those children in summer Head Start. During 1966-67, there were over 200 Public School pre-school classes City-wide.[72] The Board's participation in summer Head Start was not continued.[73]

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[68] McMurray.

[69] Institute of Public Administration.

[70] Board of Education.

A new source of funds for pre-kindergarten in the public schools began in 1966. New York State Experimental Prekindergarten legislation authorized the formation of pre-kindergarten classes for poor children who might be at risk of later school failure. In 1967, the Board opened 50 Experimental Prekindergartens in Manhattan.[74]

As federal monies for pre-school education decreased during the 1970s, and New York City experienced a major fiscal crisis in 1975, early education programs in the public schools shrank. In 1971, the examination for early childhood supervisor was given for the last time, and in

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[71] Institute of Public Administration.

[72] The exact number of classes ranged from 202 according to Board records, to 280 according to the Institute of Public Administration.

[73] "During this period, the Council Against Poverty terminated its funding of Summer Head Start with the Board of Education because of disputes over the role of the teacher's union and the lack of parent involvement in the schools." McMurray.

[74] Oral History.

1974, the last examination was given for teachers of early childhood classes.[75] Some Title I funds were used to maintain pre-schools in eligible local school districts, and State Experimental Prekindergartens did continue; but in general, this period was one of diminished focus on educating four-year-olds in public schools,[76] primarily because funds were not available.

The 1980s are a period of renewed interest in the importance of early childhood education as a foundation for later school success. In New York City, universal all-day kindergarten in the Public Schools became a reality in 1983, only four months after it was chosen as an educational priority by then Chancellor Anthony Alvarado. Public kindergarten has become an important, established component of public school education. In addition, the public schools provide pre-kindergarten programs in 24 of the 32 Community School Districts. These programs serve 5,497 three- and four-year-olds.

THE CURRENT STATUS OF PRE-SCHOOL PROGRAMS IN THE PUBLIC SCHOOLS

Public School pre-school programs are, fundamentally, local initiatives. The Central Board has oversight responsibility for the various programs, provides technical assistance, on-going staff development and acts as the conduit for their funds. It is the local Community School District which commits itself to a pre-school program and matches the necessary funds.

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[75] Oral History.

[76] Oral History.

Within the school system, there are five types of pre-school programs.

The New York State Experimental Prekindergarten Program. Legislation enacted during the New York State 1965-66 Legislative Session established the New York State Experimental Prekindergarten Program to serve three- and four-year-old children "with special education needs associated with poverty."[77]

State funds are available to school districts throughout the State on a competitive basis. In New York City, the Central Board, through the Early Childhood Education Unit (within the Division of Curriculum and Instruction) provides assistance in proposal development to school districts seeking funds for an Experimental Prekindergarten Program. The proposals are submitted to the State as an aggregate. Funding comes to the Board with individual notices of grant awards for the districts involved. Of the $20 million available State-wide in 1985-86 for Experimental

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[77] Regulation of the New York State Commissioner of Education.

Prekindergarten Programs, New York City receives $6.2 million or 31 percent. Twenty School Districts are providing New York State Experimental Prekindergarten Programs to 2,681 children, including 2,532 four-year-olds.

Umbrella Programs. Through the State-funded New York City Community Education Program--otherwise known as the Umbrella Program--grants are available for innovative pilot projects to meet special local needs. Community School Districts can submit proposals for a variety of programs, such as teenage pregnancy prevention, special arts, pre-school education and others. Eligibility criteria are not established by the State. Proposals are submitted to the City-wide Umbrella Bureau in the Board of Education's Division of Curriculum and Instruction, which transmits the proposals to the State Education Department.

In 1985-86, four school districts are using Umbrella funds for pre-school programs, including a "gifted" preschool program, an after-school pre-school program and a parent co-op. Across the four districts, 155 children are enrolled in Umbrella-funded pre-school programs.

Legislative Grants. Funds can be made available from the State directly to Community School Districts via individual State legislator's discretionary funds. Responsibility for developing and monitoring programs rests almost exclusively with the recipient districts. In 1985-86, six districts have pre-school programs funded by legislative grants. These programs enroll 1,797 children.

Chapter I. Pre-school programs can also be funded with Chapter I monies. Chapter I is a federal program in which districts receive an allotment to provide educational services to low-achieving children in low-income areas. Districts have discretion, within prescribed parameters, to allocate funds. They must submit a plan stating how the money will be spent. The plan is submitted through the Central Board to the State Education Department, which has been delegated responsibility for monitoring. In 1985-86, only one district is using its Chapter I funds for pre-school. This program serves 570 children.

Tax-Levy Programs. In local School District budgets, some funds are discretionary and there is local option regarding their use. Districts can choose to use discretionary funds for pre-school programs and, in 1985-86, six districts are doing so. These pre-school programs are labeled "tax-levy" programs, although they are actually a mix of State aid[78] and City dollars. They serve 265 four-year-olds.

From here on, when this document makes reference to Public School Pre-Kindergarten, we are referring to the New York State Experimental Prekindergarten Program as it operates within the City Schools. A conscious decision was made to select this model because it is built on clearly articulated goals, objectives and criteria for evaluation that provide a basis for comparison with other publicly-funded educational programs for four-year-olds.

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[78] Both New York State and New York City allocate basic funds for education. The State's contribution, the smaller of the two, is based upon a formula that takes into account the taxable value of real estate, the number of children in the system and pupil attendance. State-wide, New York City is considered a single school district.

Delivery Structure

In the City Public Schools, the New York State Experimental Prekindergarten Program generally consists of a two-and-one-half- to three-hour day, although several programs operate for a full school day. The program follows the school year calendar, and so is in session 182 days a year. Half-day programs operate in double sessions. Both the morning and afternoon sessions include lunch and a snack. Breakfast is available to children on a needs basis.

Administrative jurisdiction for this program is delegated to the Bureau of Child Development and Parent Education within the State Education Department (SED). The Bureau approves programs, reviews budgets, monitors programs for their compliance with the State's Prekindergarten Guidelines and provides technical assistance. The Early Childhood Education Unit within the Board of Education's Division of Curriculum and Instruction also plays a monitoring and technical assistance role. In addition, the Early Childhood Education Unit and the Office of Budget Operations and Review work cooperatively in providing technical assistance in program development and budget modifications.

Eligibility

Ninety percent of children selected to participate in the New York State Prekindergarten Program must meet eligibility criteria based upon limited income and other indicators of need that include the following: sub-standard housing, history of chronic family illness, low school achievement of siblings, family record of delinquency or trouble with the law. "To avoid homogeneity of grouping," inclusion of 10 percent over-income children is both permitted and encouraged.

Funding Streams

The Legislature votes annual appropriation to SED for the Prekindergarten Program. Programs are funded at an 89 percent State share with a mandated minimum 11 percent local share. The 11 percent local contribution must be "in cash"; in-kind contributions are not acceptable. Recipient New York City School Districts tend to contribute more than the 11 percent they are required to contribute. In 1984-85, the 15 districts offering New York State Prekindergarten Programs contributed an average 18 percent of their pre-kindergarten program's total budget. Local contributions ranged from an exact 11 percent to as high as 37 percent.[79] The Central Board does not contribute to the local share.

Teaching Personnel

Staffing Requirements. Class size is limited to 15 children with two adults, at least one of whom is a certified teacher. This ratio is required both for three-year-old and four-year-old classes.

Staffing Qualifications. Teachers must have a New York City license in early childhood education (K-2) or a Common Branch (K-6) license and/or State certification in early childhood education (N-3)[80] or elementary education (N-6 or N-9) with specialization in early childhood education. The New York State Experimental Prekindergarten Guidelines specify that assistant and aide positions must "comply with local regulations," as well as demonstrate "interest and ability to work with young children."[81] Within the City Public School System, an entry-level paraprofessional must have at least a high school diploma or its equivalent.

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[79] This district is one of the two districts which offer full-day pre-kindergarten. Since the State only funds a half-day program, the district must make up the balance.

[80] The State ceased issuance of the N-3 certificate in 1966.

[81] New York State Education Department, Bureau of Child Development and Parent Education, 1985-86 Guidelines for New York State Prekindergarten Programs.

Salaries. Salaries are locally established. In 1985-86, the entry-level salary for a New York City Public School teacher is $18,500 and for a paraprofessional $9,975. Compared to the system as a whole, the Central Board reports little to no difficulty in recruiting teachers for the pre-kindergarten classes.

Staff Development. An on-going staff development component is required by State Prekindergarten Guidelines. It focuses on the State Prekindergarten's key program components: curriculum, health, social services and parent involvement. Both pre-service and in-service components are required. They must include:

- Orientation sessions of total staff to assure knowledge and understanding of program goals;
- Regular meetings of total staff to provide additional learning and enrichment and to enhance team approaches;
- Focus on observations, over time, by all staff members, non-judgmental recording and personalized planning to capitalize on children's strengths and interests;
- Focus on work with parents which recognizes parent involvement as crucial to children's learning;
- Planned conferences among pre-kindergarten, kindergarten and early elementary teachers in order

> to provide continuity of learning opportunities for children and their families.[82]

The number of days set aside for training is not mandated. In New York City, school districts vary, but generally from four to eight days are set aside for pre-service training and other teacher activities. These take place in September before the children are in attendance. Some City districts, in fact, set aside the entire month for staff development, classroom set-up, registration and home visits (by the teachers to each child's family).

The amount of time devoted to in-service training also varies among the districts. At a minimum, most districts conduct one full day of staff development per month over the school year. A few districts conduct training on a weekly basis.

Monitoring and Evaluation

Self-assessment is an integral part of the monitoring process. All proposals requesting State Prekindergarten funding must include an evaluation plan which is "comprehensive, developmental, and longitudinal in nature." The evaluation must include collection of program data such as services provided, attendance, records of immunizations, as well as assessments of program quality, as demonstrated both quantitatively and qualitatively through child observation, developmental screening,[83] interviews with parents, staff, administrators, community people and children, and other activities which are designed to support continuity of the program and of the child's learning experience.

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[82] New York State Education Department.

A program's continued funding is dependent upon its adherence to the State's Prekindergarten Guidelines. Associates from the Albany-based Bureau of Child Development and Parent Education are responsible for monitoring and providing consultation to specific programs. This is done through phone contact and periodic site visits.

The staff who conduct the site visits use no standardized assessment instruments for monitoring. Rather, as experienced early childhood education professionals, they call upon their background, training and familiarity with Prekindergarten Guidelines. Since there are only two people currently able to monitor programs at the State level, much of the monitoring is conducted by phone contacts with program operators. The Central Board's Early Childhood Education Unit also provides technical assistance and opportunities for staff development. For example, there are monthly meetings of district-level Early Childhood Liaison staff, of which at least three are devoted to pre-kindergarten. Arrangements are made for program visits among districts.

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[83] Proposals which limit program evaluation to testing children's achievement according to pre-test, post-test models are not approved.

Older established programs are linked with newer ones for peer support and assistance.

Although the Board of Education's commitment to early childhood education has traditionally focused on kindergarten and the early elementary grades, over the past four decades its involvement in pre-kindergarten has gradually expanded. Recently, this is particularly due to increased levels of State support for pre-kindergarten programs as well as heightened local interest.

THEMES

Each of the three delivery systems described in the previous section has evolved along different paths. Yet, all three share common elements and themes. Government's response to specific societal, political and economic crises--waves of newly-arrived immigrants, unemployment, poverty, war--was the impetus behind the provision of monies to support development of public programs which could alleviate existing crisis. One result of this crisis-oriented approach to program provision has been the uneven public funding patterns of all three systems, which often caused programs to expand rapidly and then contract sharply as dollars became scarce.

The evolution of three fairly independent service delivery systems has also, however, created points of tension. Primary among them is personnel--around which there exist discrepancies of salary and qualifications. Although teachers in ACD Day Care, Head Start and Public School Pre-Kindergarten are engaged in fundamentally the same activity--educating young children--that is not apparent from a review of their qualifications and salaries. There are wide disparities across the systems. As is readily visible from Table 7, the three delivery systems have varying staff qualifications. Uniformity of programs will call for uniform standards that must be enforced.

Work schedules among the three systems also differ significantly. While staff in each are paid on the basis of 261 days per year, Board of Education staff work 186 days (6.3 hours per day), Head Start staff, 230 days (7 hours per day), and Day Care staff, 220 days (7.5 hours per day).

The glaring lack of parity in the pay and benefit schedules for program staff is graphically shown in Table 8. These inequities have caused continuous staff problems across the three systems, and have increased the difficulty of attracting and maintaining a pool of qualified teachers--the heart of high quality programs for young children.

There are also significant differences among the three delivery systems in the degree to which mandates and regulations or standards allow the opportunity for local initiative. Some elements are tightly centralized (i.e., specification of eligibility, program monitoring) but others leave some room for local input.

TABLE 7

COMPARATIVE QUALIFICATIONS OF EARLY CHILDHOOD TEACHING STAFF

BOARD OF EDUCATION		ACD HEAD START		ACD DAY CARE	
TITLE	MINIMUM QUALIFICATIONS	TITLE	MINIMUM QUALIFICATIONS	TITLE	MINIMUM QUALIFICATIONS
TEACHER (Temporary per diem)	BA/BS Degree & successfully passing NYC Board of Examiners TPD Exam & 12 credits in education to be completed in two years	TEACHER I	90 college credits & 150 hours of student teaching in K or pre-K, OR 90 college credits & one year paid experience in K or pre-K as assistant AND, for both, be enrolled in a study plan	GROUP TEACHER: Pre-school I	Be within 32 credits of N-6 provisional NYS certification & have a study plan to complete minimum of 6 credits per year & 1 year experience as an asst. or aide in pre-K
TEACHER (Regular)	BA/BS & N-6 or N-9 NYS provisional certificate OR BA/BS & Board of Examiners K-6 license OR BA/BS & meet Board of Examiners minimum required scores on the National Teachers Exam in both the core and early childhood specialty areas	TEACHER II	BA in early childhood education & an N-6 provisional NYS certificate & a study plan to complete a minimum of 6 credits per year to obtain a permanent certificate	GROUP TEACHER: Pre-school II	Same as Head Start
TEACHER (Regular)	Permanent N-6 or N-9 NYS certificate which must include 6 credits in special education	TEACHER III	Permanent N-6 NYS certificate	GROUP TEACHER: Pre-school III	Same as Head Start
TEACHER AIDE	H.S. diploma or equivalent	TEACHER ASSISTANT	No H.S. diploma required	TEACHER AIDE	No H.S. diploma required
EDUCATIONAL ASSISTANT	H.S. diploma or equiv. & 6 college credits & 1 year experience in the program	TEACHER ASSISTANT	H.S. diploma or equivalent	ASSISTANT TEACHER	H.S. diploma or equivalent
EDUCATIONAL ASSISTANT (A-1)	15 college credits	TEACHER ASSISTANT	30 college credits	ASSISTANT TEACHER	30 college credits
EDUCATIONAL ASSISTANT (A-2)	30 college credits	TEACHER ASSISTANT	60 college credits	ASSISTANT TEACHER	60 college credits
EDUCATIONAL ASSISTANT (B)	45 college credits	TEACHER ASSISTANT	90 college credits	ASSISTANT TEACHER	24 credits in education

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TABLE 8

WAGES AND BENEFITS OF TEACHERS 1985-86
Comparison of NYC Board of Education, ACD Day Care and Head Start

	BOARD OF EDUCATION	ACD DAY CARE	ACD HEAD START
UNION:	UFT	Local 205, DC 1707	Local 95, DC 1707
WAGES:			
Entry level	$18,500	$17,000[*]	$17,000[*]
Steps	2 steps per year	In contract, but not used	In contract, but not used
Longevity Pay	10 years: $1,853 13 years: 538 15 years: 1,882 (cumulative)	5 years: $200 10 years: 200 15 years: 200	No
Educational	BA + 30: $ 741 MA: 2,152 MA + 30: 2,892 (cumulative)	Student Teaching: $381 MA (Education): 381 Both: 762	MA (Education): $935
BENEFITS:			
Welfare Fund	$795	$565	Included in health insurance
Health Insurance	$1,637 family coverage in FY 85. Choice of HIP/HMO or GHI-CBP	Approximately same cost as Board of Education; choice of HIP/HMO or GHI-C/Blue Cross	Approximately same cost as Board of Education; choice of HIP/HMO or GHI-C/Blue Cross
Pension	Yes	Yes	No
Social Security	Yes	Yes	Yes
Annuity Fund	$400 at maximum step	No	No
Days facilities are open	182	250	218
Vacation	Summer	30 days	20 days 23 days after 7 years if hired post 2/1/80 25 days if 5 years of service by 2/1/80 23 days after 5 years if hired by 2/1/80
Holidays	26 days	11 days	11 days
Days of work	186	220	227-230
Hours of work per day	6.3	7.5	7
Hours of work per week	31 2/3	38	35
Sick leave	10 days per year; may accumulate up to 200 days	12 days per year; unlimited accumulation	12 days per year; may accumulate up to 180 days

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SOURCE: New York City Office of Municipal Labor Relations.

[*] Retroactive to July 1, 1985.

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For example, in the case of Head Start and New York State Experimental Prekindergarten, the programs' components are similarly defined--developmental curriculum, parent involvement, staff development, support services, evaluation--but the guidelines for their implementation differ in level of specificity. The Head Start Performance Standards are highly specific. In contrast, Experimental Prekindergarten Guidelines are open-ended--programs submit individualized proposals indicating how they intend to implement the program components.

Finally, funding sources support a basic difference between programs. Day Care and Head Start services are funded with social service monies and delivered by not-for-profit community based agencies which contract with the City's Agency for Child Development and which are governed by independent boards. In contrast, pre-kindergarten services are funded with education dollars and are provided by schools run by the Board of Education. Day Care provides 10 hours of service each day to children of parents who primarily either work or are in training, while Head Start and Prekindergarten provide three hours of service each day to children of families who are nearly all below the Federal Poverty Guidelines.

The Agency for Child Development and the Board of Education, through Day Care, Head Start and Public School pre-school programs, currently offer public education programs for 22,600 four-year-olds. These agencies collectively have a long history of administering early childhood education programs and, within each agency, exemplary programs are found.

Each agency has also, over the years, developed the trust of local communities and a wealth of experience in educating four-year-olds. These are the very resources the City cannot afford to waste if a successful, cost-effective expansion is to take place. Increased coordination and collaboration among the three systems will be essential for successful expansion. To do other than build on existing strengths and resources would be both wasteful and unwise.

CHAPTER FIVE

ELEMENTS OF QUALITY EDUCATION PROGRAMS
FOR FOUR-YEAR-OLDS

INTRODUCTION

Pre-school programs that have positive long-term effects on children's development are programs of high quality. These positive effects occur where there is a strong commitment to quality. Isolating the elements of quality programs is not easily accomplished. "Although we all feel that we know what a high quality program looks like and sounds like and feels like, it can be difficult to translate that gestalt into specific components."[1]

Policy-makers can assure positive benefits from programs by setting clear standards that must be met in designing programs. The elements of quality programs identified by the Commission are discussed in this chapter. To set the context, we examine the developmental stage and characteristics of the four-year-old. Nine essential elements of quality programs are organized and discussed: curriculum; class size and adult/child ratios; teacher qualifications; space; health; nutrition; support services; and parent involvement. The chapter concludes with a discussion of those program supports (staff development, evaluation, pre-school/school continuity) which the Commission has identified.

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[1] National Academy of Early Childhood Programs, Accreditation Criteria and Procedures, 1984.

The strenuous efforts of educators and child welfare advocates over the years have resulted in the establishment of high standards for early childhood programs in New York City. Many of these standards are embodied in the City Health Code and cover areas of class size, adult/child ratios, teacher qualifications and appropriate space. All licensed programs must meet these standards. In many cases the standards adopted by the existing publicly-funded programs either meet or exceed those of the Health Code. The Commission is, therefore, in a fortunate position of assessing established standards in terms of their bearing on quality, rather than of establishing standards de novo.

The Commission drew on four sources in establishing criteria for high quality educational programs. First, we examined the standards regulating the systems which deliver educational public pre-school programs in New York City--ACD Day Care, Head Start and New York State Experimental Prekindergarten (see Appendix 2). An overview of these standards showed a striking similarity across programs. Some of this uniformity results from conformity to the standards imposed by the Health Code.

Second, we drew upon the rich, varied and extensive backgrounds--both practical and theoretical--of the many early childhood education professionals, program providers, administrators, parents, concerned citizens and public officials who participated in our public forums and meetings.

Third, Commission members and staff made site visits to local programs[2] which central agency administrators, parents and providers regarded as exemplary. The programs operated for varying lengths of the day, under different auspices, with different standards regulating staff qualifications. Even with these variations, the programs had a very similar look and feel.

Finally, the relevant research was reviewed for insights as to what identifiable elements constitute a quality program, in terms of impact on measurable indices of both child growth and school progress and aspects of the pre-school environment.

THE DEVELOPMENTAL STAGE OF THE FOUR-YEAR-OLD

Recent research and theory in child development suggest that no single picture captures four-year-old development. Older theories which viewed the child as unfolding on a biologically-driven schedule[3] have given way to less monistic positions. Current theory tends to regard the biological schedule as, at best, an outside frame of reference which at its extremes may suggest exceptional development.[4] Within a broad range, many possibilities exist and each child may exhibit a differential development. One child scores in the 99th percentile on an I.Q. test, yet still has not mastered the elements of relating to peers. Another child is a social butterfly, but cannot concentrate on a task long enough to gain the satisfaction of completing a drawing.

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[2] In total, 22 programs were reviewed throughout the five boroughs, including 12 Public School pre-school programs; five Day Care Centers; four Head Start Centers; and a New York City Department of Parks and Recreation pre-school program.

[3] Arnold Gesell, "Maturation and the Patterning of Behavior," A Handbook of Child Psychology, 1931.

Nevertheless, some generalized characteristics of the four-year-old can be identified which are useful in development of appropriate curricula. The four-year-old is a small child in the fifth year of life who is generally moving from the impulsive, resistant, sometimes withdrawn and insecure behavior of the three-year-old to the outgoing, responsive and increasingly independent mode of the four-year-old. In a variety of ways, a four-year-old is beginning to integrate many of the physical, social, emotional, linguistic and cognitive gains made during the previous year.

Physically, a four-year-old is developing increasingly competent gross and fine motor abilities. As motor skills become more fully developed, a four-year-old gains more control of his/her body.

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[4] Barbara Biber, Edna Shapiro and David Wickens, Promoting Cognitive Growth: A Developmental-Interaction Point of View, 1971.

As a child begins to develop boundaries of self, he/she can become part of a group. Socially, four-year-olds are becoming more attuned to other children, learning to play together and to exchange ideas. At the same time, they can play by themselves for ever longer periods. Their moods are not as changeable, or their behavior as resistant as when they were three.

Emotionally, four-year-olds are particularly trusting and cooperative, which makes them vulnerable and not as able to protect themselves from negative influences. This same vulnerability, however, means they are very sensitive to learning.

Linguistically, a four-year-old is moving from a "me" to a "me and the world" orientation. With an average vocabulary of 1500 words in English or her/his native language, a four-year-old likes to play with language, to make up words and to say rhymes. In varying degrees, the four-year-old is beginning to understand contextual relationships and to use prepositions. Questioning is at its peak. But a four-year-old frequently is not capable of logic and, when faced with a situation contrasting reason and perception, will side with perception.

Cognitively, a four-year-old is becoming more sophisticated and can handle multiple-step instructions. Given the opportunity to explore and discover, the child can figure out how things work, make plans, and anticipate needs for future action--the first step in adult thinking. But four-year-olds cannot passively absorb knowledge that is performed for or imposed on them--it has to be experienced. The process of concept development (big, small, red, round) results from concrete manipulation of materials in the world, whether at home or in the classroom.

From a developmental perspective, there needs to be support and stimulation to provide a child with a cognitive structure to assimilate and accommodate information and experiences. Children at four are uniquely suited for pre-school because they are beginning to develop their fundamental styles of thinking and learning. When programs reflect a knowledge and understanding of the developmental nature of the young child, early childhood education holds the potential for making deeper, longer lasting impressions than experiences at a later age.

CURRICULUM

Introduction

Curriculum is the design of the classroom environment, the materials used and the articulated goals and objectives. As a theory or set of principles concerning education, curriculum structures the experiences of the learners. Curriculum models in early childhood run the gamut from a behavioristic psychology orientation to the latest fashion in child development theory.

Today, in particular, there are increasing demands on early childhood programs to prepare children for school. These demands come from many quarters: program policy-makers who want to establish direct connections between pre-school attendance and school success by making pre-school a "watered-down" first grade--"if we can only get to them early;" parents who expect their children to be reading earlier, imagining a magic recipe for intellectual achievement; and school administrators who believe that "better prepared" first graders will resolve basic instructional problems.[5]

Developmental and Age-Appropriate Curricula

In programs for young children, staff should make use of developmentally appropriate activities and materials that:[6]

- Enhance children's sense of self-worth (self-confidence, dignity, competence, patterns of success);
- Promote autonomous action (independence, self-discipline, self-help);

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[5] Harold Zimiles, The Role of Research in an Era of Expanding Preschool Education, 1985.

[6] This list is a summary of the curriculum principles of Head Start, Day Care, and New York State Experimental Prekindergarten (See Appendix 2).

- Support their natural curiosity (creativity, inquiry strategies, spontaneity).

Learning in early childhood is basically accomplished through language and play--the symbolic representation and reconstruction of the world the child experiences. Teachers introduce experiences and materials which extend and differentiate this world:

- The housekeeping area for dramatic social reenactments of family scenes and roles;
- Unstructured materials like sand and water play, where the child provides the form and masters the materials;
- More structured materials like blocks, where the child's construction must come to terms with properties of materials in space (no amount of desire can make a building stand on an unstable foundation).

Daily schedules should reflect careful consideration of a balance of activities which are:

- Active and quiet;
- Indoor and outdoor;
- In large groups, small groups and alone;
- Designed for use of large and small muscles;
- Structured to give the child actual choices;

- Scheduled in ways that reflect children's complementary needs for independence and nurturing.[7]

The quality pre-school should be a place rich in interactions among children and between adults and children. At its best, the pre-school experience should facilitate children's learning how to:

- Sequence ideas and events;
- Classify items;
- Make logical relationships;
- Develop a concrete sense of space, time and ideas;
- Make symbolic verbal relationships to objects;
- Hear and follow instructions;
- Function as a member of a group.

New York City is a microcosm of the world and the prototype of a heterogenous society. Early childhood education programs must respect the linguistic and cultural worlds of the child. Two principles of curriculum design related to those facts were advocated by forum participants: (1) curriculum should be "responsive to the community in which the child lives," and (2) it should be respectful of "issues of individuality, gender, disability, culture and native language."[8]

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[7] Schedule was particularly stressed in Day Care, where the rhythm of the extended day is important.

[8] Early Childhood Education Commission, Forum at Pace University, September 19, 1985.

The curriculum should be sensitive to a number of community concerns: from knowing the "do's and don'ts" of the social etiquette of a particular group, to bringing in parents to cook ethnic dishes with the children, to a full bilingual-bicultural curriculum such as ALERTA.[9] Language, as bilingual curriculum experts remind us, is the basic medium through which children learn.[10]

Finally, curriculum for children with handicapping conditions should enable them to be educated with their non-disabled peers in the "least restrictive environment."[11] Mainstreaming includes "instructional and social integration, individualized educational planning, and the clarification of responsibility on the part of all professionals involved."[12] High quality programs are integrated so that "they are composed of children with a wide range of skills and/or needs, and are designed to accommodate various levels of cognitive, social and emotional functioning."[13]

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[9] Leslie R. Williams and Yvonne DeGaetano, ALERTA: A Multicultural, Bilingual Approach to Teaching Young Children, 1985.

[10] Early Childhood Education Commission, Forum at Columbia University Teachers College, November 8, 1985.

[11] Code of Federal Regulations, Vol. 34. Part 300.551 (1985).

[12] Merle B. Karnes and Richard C. Lee, "Mainstreaming in the Preschool," Current Topics in Early Childhood Education, Vol. 2, 1979.

[13] Margaret Nuzum, Integrated Preschool Programs, 1985.

It is interesting to note that Head Start was one of the first programs to integrate handicapped and nonhandicapped children early in education programs. A successful model was the Ypsilanti Perry Preschool Project.

Research on Curriculum

The nationally renewed interest in early childhood education has roots that go back to earlier movements in this and the previous century which derived from a belief in education as a means of social reform. These movements were led by such diverse advocates as Montessori, Pestalozzi and Robert Owen, who saw early education as providing children of poor families access to experiences which more fortunate children had in their own homes. These initiatives were later buttressed by various theoretical formulations, most notably those which consolidated the notion that what happens in the earliest years is the most important determinant of later growth and development. Piaget's views of the child as an active constructor of intellectual schema, considered in conjunction with Bloom's widely-accepted conclusion that half of intellectual development occurs by age four, gave enormous support to those who believed in the power of the environment in shaping that child's future behavior.

These differing views dealing with the cognitive as well as the affective, are among the underpinnings of current curriculum models.

The ideas represented in the curriculum principles described are congruent with those emphasized by the National Academy of Early Childhood Programs[14] and advocated by its umbrella organization, the National Association for the Education of Young Children.[15] They articulate principles of "developmentally appropriate curricula"--an approach to curriculum design based on child development theory.

The research on curriculum models, while it does not say which curriculum is best, suggests some ideas about quality. One review of the literature comparing curricula ranging from highly structured, skills-based curricula to those of a traditional nursery school, found that they produce very similar results on children's scores on intelligence and achievement tests.[16] Evaluation of the research on curricula holds that it is not so much the content of one or another curriculum that is important but the quality of its implementation.[17] Regardless of the selected curricular mode or approach, the teacher must have clearly articulated goals and objectives around which to create the setting for the child.

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[14] National Academy of Early Childhood Programs.

[15] National Association for the Education of Young Children, Unapproved Draft Position Statement on Developmentally Appropriate Practice in Early Childhood Programs, 1985.

[16] David P. Weikart, "Effects of Different Curricula in Early Childhood Intervention," Educational Evaluation and Policy Analysis, 1981.

[17] Berrueta-Clement, et al. Ramey, et al., 1983.

Forum participants strongly believed that the developmental appropriateness of a curriculum--whatever specific content might be stressed--must be at the core of a high quality pre-school. "The integrity of early childhood programs must be protected."[18]

The theoretical underpinnings of early childhood education imply that developmental and not skill-based curricula have the most positive long-term effects. An important study on the long-term effects of several pre-school models on disadvantaged children found that children who had experienced a program with an emphasis on a skills-based curriculum did well on achievement tests in the first and second grades. However, when children were tested in ninth grade, their performance had fallen well below grade level. In contrast, children who had experienced a "traditional" or free play program performed below grade level in first and second grade; but in ninth grade, they tested at or near grade level.[19]

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[18] Early Childhood Education Commission, Forum at the City University of New York (CUNY) Graduate Center, November 4, 1985.

[19] Louise M. Miller and Rondeall P. Bizzell, "Long-term Effects of Four Pre-school Programs: Sixth, Seventh and Eighth Grades," Child Development, 1983.

One interpretation of this result is that the pre-school that supports the inclination of children to be curious, to discover and explore and exercise their abilities, will have the best results in the long run.[20] In sum, the quality pre-school curriculum prepares children for school, but not necessarily in the way that might be traditionally understood.

THE BASIC ELEMENTS OF THE LEARNING ENVIRONMENT

Introduction

Small class sizes and high adult/child ratios are regarded as basic conditions of high quality environments for young children.

A theme which ran through the testimonies at the public forums was that group/class size must be held to no more than 20 children per class. Sentiment expressed by early childhood educators favored the lower number of 15. Teachers, aware of the realities of budget constraints, recognize that 20 is more realistic. However, all agreed that 20, the New York City Health Code standard for four-year-olds, was an upper limit of enrollment. Teachers preferred high adult/child ratios--"if there is not enough adult support, there should not be a program"[21]--but generally agreed that a ratio of 1:10 was acceptable.

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[20] Lilian Katz, Early Childhood Education Commission Program Task Force Meeting, October 18, 1985.

Strong effects of class size and adult/child ratios on the quality of the classroom environment are supported by research.[22] Large class sizes militate against small group interaction--both among children and between adults and children. Children in smaller classes more often engage in behaviors indicating involvement and learning--reflecting, conversing, cooperating--and less often in behavior signaling the child is "tuned-out"--aimless wandering, thumb-sucking. High adult/child ratios had effects such as increasing task persistence and reducing non-involvement.[23]

The National Day Care Study concluded that maximum positive effects of class size were not found above 18 children in situations with two adults. The study suggests that although some teachers were able to overcome many of the effects of larger class sizes by organizing instruction for small groups, these teachers were not the norm. The evidence is that even if all teachers are well-trained, there are limits to their ability to overcome the effects of group size.

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[21] Early Childhood Education Commission, Forum at Columbia University Teachers College Breakfast, November 8, 1985.

[22] Elizabeth J. Phyfe-Perkins, Effects of Teacher Behavior on Preschool Children: A Review of the Research, 1981: Jeffrey Travers and Richard Ruopp, National Day Care Study: Preliminary Findings and Their Implications, 1978; Ruth Hubbell McKey, et al., Head Start Synthesis Study, 1985. The effects of class size and adult/child ratios on child-outcome measures are less clear than on classroom environment. However, the NDC Study found that small class size had positive effects on standardized achievement measures.

[23] Travers and Ruopp. The study also indicates that of the two effects, class size is the stronger. A high adult/child ratio does not compensate for large class size.

> Even the most well-qualified teacher cannot individualize instruction and adequately supervise too large a group of young children. An acceptable adult-child ratio for four- and five-year-olds is two adults with no more than 20 children.[24]

Teacher Qualifications

At the public forums, early childhood professionals were of one voice in saying that "credentials must reflect early childhood training." There was widespread agreement that such training should include formal college credits as well as supervised practice.[25] They called for the re-institution of a State certificate in early childhood education, reissuance of the New York City early childhood license (as issued by the Board of Examiners) and for the "resurrection" of early childhood programs in colleges and universities and an active recruitment for them. There was widespread concern lest the practice in the Public School pre-kindergarten programs of accepting teachers who are not fully credentialed in early childhood education be permitted in the proposed programs for four-year-olds.

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[24] National Association for the Education of Young Children.

[25] There was little support among New York City professionals for the establishment of an early childhood credential such as the Child Development Associate (CDA), widely accepted as a national credential now under the administration of the National Association for the Education of Young Children. The CDA requires extensive training in early childhood but no college degree.

Research confirms what common sense and professional wisdom indicate, namely, that understanding the needs and abilities of young children is essential to working with them. Early childhood specialization has major positive effects on classroom behavior. Teachers with specialized training engage in more interactions with children than others. Children in groups with higher proportions of trained staff are more likely to engage in reflection, innovation, cooperation and task persistence. Finally, staff with early childhood education training tend to spend less time in activities such as conversation with other adults. Other aspects of teacher qualification--years of education and experience--do not significantly affect classroom behavior in such ways.[26]

The national shortage of teachers is especially acute in early childhood education. The number one problem reported by programs which responded to a Commission survey was the shortage of staff capable of meeting the minimal Health Code standards. The greatest fear concerning new programming in early childhood was that policy-makers would abrogate the requirement for early childhood licensing. "More," they said, "not less" is required. In particular, professionals feared that classes located in the public schools would be staffed by teachers without early childhood background and training. They were quite certain that no programs were preferable to such an alternative.

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[26] Travers and Ruopp.

In sum, there was unanimous sentiment expressed by all who shared their vision with the Commission: "Education is a moral issue. There are things children deserve and have a right to. Trained teachers are one such thing."[27]

Space

The physical environment of programs has an effect on the behavior and development of both the children and adults who work, live and learn in it. The amount, arrangement and use of both indoor and outdoor space are important.

All program models reviewed by the Commission had a requirement for indoor space that meets the standards of the Health Code.[28] In addition to health and safety functions, standards concerning dimensions ensure adequate space for the kinds of activities that normally occur in a pre-kindergarten room.

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[27] Early Childhood Education Commission, Forum at Teachers College.

[28] In addition to the requirements discussed here which are relevant to specific program objectives, the Health Code sets standards which bear on the health and safety of children. These standards concern lighting, heating, ventilation, storage of children's personal belongings, bathrooms, cleanliness and the safety of the facility with respect to fire, traffic and other hazards.

The requirement for outdoor space is programmatically related to children's health needs for fresh air, but also to their need for gross-motor activities--climbing, running, jumping, moving large objects. Many facilities used by pre-schools--including public schools--were not built with the gross-motor needs of the young child in mind. The New York State Prekindergarten Program has partially compensated for the lack of outdoor space by mandating larger indoor space. All programs must provide adequate areas for gross-motor activities.

Within the context of the Health Code, many kinds of facilities house quality programs. In one of the sites visited by the Commission, a pre-kindergarten made use of a high school chemistry lab. The extant laboratory table and sink had become a kind of "kitchen" to allow a place for water play and clean-up and a cooking space. In contrast, a day care center had been built to the standards of the "open classroom" approach for young children, which allowed the children in all classes to flow to all of the work and play areas in the center.

CHILD SUPPORT SERVICES

Introduction

The health and nutrition services of programs for four-year-olds are essential to the overall well-being of children and their families. The primary purpose is to protect, maintain and promote the health of each child in a program.

Concern for the total child and an understanding of the interrelationships among the intellectual, physical and emotional development of the child is a mark of quality programs.

Nutrition

Research and practice in early childhood education have demonstrated the importance of the provision of adequate nutrition and the encouragement of positive nutritional habits. Food also plays a number of important roles within the program.

- Meals and snacks satisfy young children's needs to eat frequently and in small quantities as well as the psychological need for nurturing;
- Food serves a number of program functions. Because of its emotional connotations, food is an object par excellence for teaching properties of the outer physical and the inner sensory worlds. Activities surrounding the serving of food are occasions for utilizing the children's drive for autonomy by enlisting their assistance, insofar as

possible, in preparing to serve meals and clean up. Finally, eating together as a group promotes an opportunity to socialize around a primary activity;[29]

- Snacks and meals can also contribute significantly to the basic nutrition of many children, specifically poor children whose diets often lack sufficient quality and quantity of nutrients,[30] and problem eaters--children, who for one reason or another, have not developed satisfactory patterns of nutrition.

All of the program models reviewed by the Commission set nutritional standards.[31] Day Care, under special obligation to provide large proportions of children's daily food intake because of its 10-hour-day program, provides two-thirds of children's nutritional requirements; Head

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[29] The ordinary standard for the programmatic aspects of nutrition is that children eat in their classrooms. When this is not possible, however, quality programs do not abandon the goal, but find other ways to meet it. One site visit found four-year-olds eating in the lunchroom with high school students--an activity organized to the mutual benefit of both.

[30] Poor nutrition is linked to high incidence of birth complications, more prolonged and more serious childhood diseases, and disturbances in intellectual development. McKey, et al.

[31] The New York City Health Code does not require that licensed programs serve food. Where food is served, however, the Code sets standards for the quality and quantity of the food, its preparation and the food handlers.

Start and Experimental Prekindergarten provide one-half or more of children's daily requirements.[32]

A comprehensive review indicated that Head Start programs nationwide have had strong positive effects on children's diets: Head Start children take in more calories, protein and almost all other nutrients than comparable children; and the home diets of Head Start children are of higher quality than those of similar children.[33] A comparison of health records of Head Start children, children participating in a school food program and a control group of children eligible for food programs found that Head Start children had fewer absences due to illness, were taller and outperformed others on endurance tests at age 14.[34]

A high quality program necessarily incorporates nutritious food as part of its regular day, and encourages the development of positive nutritional habits.

Health

All of the model programs met the mandated Health Code requirements: a complete, yearly medical examination, accompanied by a statement indicating any need for treatment or health supervision, updated immunizations and cumulative medical records.[35] The Health Code, however, does not specify the contents of a complete examination but leaves them to the discretion of the examining physician. The current emphasis on preventive child health goes beyond the traditional immunization and health inspection to include vision and hearing screening, dental care and special assessments for anemia, sickle cell, lead poisoning, developmental problems and potentially handicapping conditions.[36] Programs varied in the degree to which they incorporated all of these elements. Head Start, which has long worked with EPSDT, the federally mandated and State child screening and health assessment program, requires all of them.[37]

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[32] The minimum nutritional standard set for programs by the National Academy of Early Childhood Programs specifies that "meals and/or snacks are planned to meet the child's nutritional needs, as recommended by the Child Care Food Program of the USDA, in proportion to the amount of time the child is in the program each day."

[33] Abt Associates, The Effects of Head Start Health Services: Report of the Head Start Health Evaluation, 1984.

[34] McKey, et al.

There is broad evidence that undiscovered and untreated health problems are particularly prevalent among disadvantaged children.[38] Health problems plague the children of teenage mothers, many of whom themselves have chronic health problems.[39] Review of the Board of Education's new admission health examinations showed only 55 percent of the children were diagnosed "well child." The other children had a variety of problems, from vision to evidence of child abuse or neglect.[40]

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[35] New York City Department of Health, New York City Health Code, amended to June 30, 1973.

[36] Communication from: Steven Merahn, M.D., Pediatric Consultant to Department of Health Bureau of Day Care, 1985.

[37] Medicaid Early Periodic Screening Diagnosis and Treatment (EPSDT) is known in New York State as the Child Health Assessment Program (CHAP).

[38] New York State Education Department, The Bureau of Child Development and Parent Education, Health Services in the School: New York State Prekindergarten and Day Care Program: A Joint Statement, 1972.

A fall, 1985 Department of Health screening of kindergarten children referred 23 percent for vision and four percent for hearing. The percentages of referred children were similar for the higher grades. This finding suggests that either the older children were never screened and referred, or they were referred but follow-up did not occur. In either case, children enter and continue through school with health problems that are directly relevant to the ability to do school work.[41] A recent study found that among New York City students scoring below grade level in reading, 75 percent failed the vision screening and 50 percent needed, but did not have, eyeglasses.[42]

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[39] Children's Defense Fund, Maternal and Child Health Data Book: The Health of America's Children, 1985.

[40] New York City Department of Health, School Children's and Adolescent Health Program, December, 1985.

[41] New York City Department of Health, School Children's and Adolescent Health Program.

[42] State University of New York, College of Optometry, 1982; cited in City of New York Department of Health, Report of the School Health Assessment, Planning, and Evaluation Project (SHAPE), February, 1984.

Early detection and treatment of child health problems can remove significant impediments to learning.[43] A preventive health program in a pre-school, by actively involving parents and children in the screening and follow-up processes, can play a major role in health education.

"Health education is like all other education; it's best when it is 'hands-on'--taking Mrs. James by the hand and walking her through the process--from spotting problems to solving them."[44]

PARENT SUPPORT SERVICES

High quality programs for young children recognize the integral connection of children with their families and develop strategies to work with the families. The strategies are based on the understanding that parents are and should be the most important influence in their child's life.

Parent support services fall into two categories which, although they overlap, serve different purposes. Both, however, help establish a continuity between children's school and home experiences.

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[43] Nation-wide, in 1983, 87.4 percent of all Head Start children were medically screened and 82.1 percent completed dental examinations. Of those screened, 25.4 percent needed medical treatment and 97.1 percent received it; 40.5 percent needed dental treatment and 95.4 percent received it. Studies also found that the Head Start program has played an important role in modifying community health resources and their utilization. McKey, et al.

[44] Early Childhood Education Commission, Brooklyn Borough Forum, October 17, 1985.

Family Support Services

The concept of support services derives from the professional orientation of social work. It ensures that links between parents and social service agencies are made, when needed, both for on-going family needs and crisis intervention. Strong programs make services available to families which meet their particular and unique needs for support in child-rearing.

Many parents are able to deal effectively with the complex issues of parenting. Others, however, are not able to cope with low incomes, physical or emotional illness of either the child or the parent, lack of adequate housing, marital problems, divorce, abandonment or death of a spouse, and still be effective parents. Stress from these and related problems can have direct, adverse effects upon a child.

Programs for young children may provide a family with a link to outside resources. Family support services should be available for:

- Planning for the use of a related counseling or health service;
- Identifying special needs and emotional and health problems of children or their families;
- Counseling for parents under stress;

- Helping parents obtain and use community resources and services;
- Informing the community of the unmet needs of children and families.

Early childhood education programs can provide a much needed service to children and their families through the early identification of and attention to potentially serious problems.

Parent Involvement

Educators have always recognized that, in varying degrees, teachers supplement the parents' role in the education of the child.[45] The teacher can offer parents insight into the special qualities of their children and a viewpoint on needs, just as parents provide insights to the teachers. For the child, pre-school can facilitate growth of independence and autonomy, thus expanding his/her environment.

Pre-school as an adjunct to the family was institutionalized by Head Start--and the continuity of pre-school and home is formally recognized by professionals as an essential element in quality programs. "The education of the whole child includes the family. You can't work with the child without working with the family."[46]

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[45] "Ideally, professional education will provide support for family education of the child....Schools are necessary but not sufficient for the education of the child." Alice S. Honig, Parent Involvement in Early Childhood Education, 1973; revised 1979.

Parent involvement can take many forms: (1) home visits by staff; (2) parent education, including areas such as child development and parenting skills; (3) parent activities ranging from fund-raising events to community advocacy efforts; (4) participation in the classroom (observers, volunteers, assistants); and (5) parent participation in decision-making.[47]

Each of these activities becomes part of the parent support system: parents and staff or parents among themselves link up to form relationships around common interests. These links are established around the educational program and the educational needs of the children. Good pre-school programs have a "modeling" function--they provide parents and children with alternate ways of thinking and feeling about themselves and their place in the world. Parent participation in the classroom, which could ultimately lead to a career, is an example of the modeling function cited by Head Start staff and parents.

There is a considerable body of research, most of which focuses on Head Start, that documents the positive effects of "parent involvement."[48] Indeed, some studies suggest that the benefits of pre-school are sustained only when parents are involved.

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[46] Brooklyn Borough Forum; Manhattan Borough Forum, October 24, 1985.

[47] These five categories are basically the levels of participation mandated in the Head Start Performance Standards.

Descriptive statistics alone are worth quoting. A survey of the parents of 430,000 children served nationwide in Head Start found among other things that:

- 89 percent of the members of policy-making councils and committees were parents;
- 79 percent of parents said they volunteer in the program;
- 27 percent of the Head Start staff was made up of parents or former parents;
- 8 percent of parents reported that the program helped them find a job;
- 9 percent said that Head Start helped them improve their education.[49]

A study of parent involvement in the New York State Experimental Prekindergarten (which measured involvement in terms of contact hours only) found that parent involvement had powerful positive effects on children's scores on standardized achievement tests immediately after the program ended, and that these effects continued at least into the first grade.[50] Longitudinal studies such as the Perry Preschool study make a logical connection, if not a research link, between pre-school's long-term impact on children and the involvement of the family.[51]

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[48] Since the elements of an effective program have not been formally developed and implemented, they cannot be documented by research. "Parent involvement" from the research point of view includes all the elements of the support services and parent involvement. Heather Weiss and Francine Jacobs, The Effectiveness and Evaluation of Family Support and Education Programs: Final Report to the Charles Stewart Mott Foundation, 1984.

[49] McKey, et al.; Weiss and Jacobs.

Studies comparing pre-schools without a parent involvement component and pre-schools with a child development training program for mothers found that children who had attended the pre-schools with parent involvement scored better on I.Q. measures.[52] Further, the more parents were involved, the greater the effects.[53] Finally, parents from centers with high levels of parent involvement felt more positively about their lives and their communities than others[54] and participated more actively in their communities.[55]

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[50] David J. Irvine, Parent Involvement Affects Children's Cognitive Growth, 1979.

[51] Berrueta-Clement, et al.

[52] George Peabody College for Teachers, "Home Visiting Programs for Parents of Young Children," DARCEE Papers and Reports 5, 1971.

[53] Norma Radin, "Three Degrees of Maternal Involvement in a Preschool Program: Impact on Mothers and Children," Child Development, 1972.

[54] McKey, et al.

[55] Kirschner, 1970; Costello, 1970; Midco, 1972; Mann, et al., 1976; cited in McKey, et al.

PROGRAM SUPPORTS

The standards of quality for curriculum, the elements of the learning environment and child and parent supports are quite clearly articulated in the regulations and guidelines of ACD Day Care, Head Start and the New York State Experimental Prekindergarten programs. Not so clearly represented are the program support services--staff development, evaluation and continuity between the pre-school and later school experiences--which research has identified as critical to maintaining high quality programs and their effects. The benefits of these support services are not as readily visible as others and, therefore, frequently are given financial considerations only after other elements are funded--if there are resources left.

Forum participants and research experts were all in agreement that strengthened program supports are crucial to maintaining high quality programs.

Staff Development

Although early childhood educators, program providers and researchers emphasize the need for on-going, regular staff development, there seems to be a curious lack of attention, as well as resources, devoted to the best means for encouraging professional growth and development.[56]

The three delivery systems in New York City which provide the publicly-supported education programs for four-year-olds discussed here, (ACD Day Care, Head Start and New York State Experimental Prekindergarten), vary in the degree to which they support pre- and in-service staff development. Although staff development is widely considered essential to program success, the evaluations of successful pre-school programs do not appear to focus on the correlations between successful teaching/learning and opportunities for teachers to hone the skills of their craft.

Some individual programs, however, which have made staff development a priority, have had strong results--low staff turnover, high rates of staff involvement in further education, professional associations and curriculum development activities.

One difficulty in staff development in the current situation is that levels of education, job preparation and experience of staff can range from those who have not completed a high school education to the master teacher or administrator who might hold a doctorate in education, and from those new on the job to those who have years of experience.

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[56] Private communications from staff development consultants, Agency for Child Development and Board of Education.

Training, including professional growth and renewal, in this context requires both imagination and a variety of approaches. Research indicates that some criteria used in developing staff training programs increase their effectiveness dramatically:

- Training must be based on genuine needs assessments and classroom observations;
- Training must recognize the professional status and knowledge of the participants and build on their collegial relationships;
- Training must be concrete;
- Point/counterpoint training which allows for learning, the application of learning, critique of the learning and its application and reapplication must be a part of the training;
- Training must be long term over two to three years;
- Evaluation of training must be both short term and long term. Results cannot be expected in less than a year.[57]

Pre- and in-service training must include all staff to some degree. While the development of the professional staff is critical, planning, coordination and implementation must involve all members of the staff who affect the environment of the child.

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[57] Joseph T. Pascarelli, Evaluation Criteria of Staff Development, 1985.

Pre-Service

Pre-service refers to training in program start-up phases. Effective new programs require time for staff to learn or expand their knowledge of the community setting of the program; to begin to know one another in order to develop a collegial and team relationship; to interpret the program goals and objectives and to lay out careful plans for reaching them; to prepare the classroom; and to meet the children and parents of their program.

The New York State Experimental Prekindergarten programs provide a full month for program staff to prepare for classroom start-up. Such a strategy for start-up reiterates a theme often brought out in the Commission's forums--"make haste slowly." There must be lead time for program set-up prior to the children's arrival. The kind of training appropriate to pre-service obviously depends upon the experience and background of head teachers and other members of the staff.

Little systematic research has been done on the types of pre-service experiences staff of early childhood education programs have and what their consequences might be. However, Schlechty has pointed out that all professions--doctors, lawyers, accountants, to name a few--have periods of "induction" and models of training which accompany them.

Pre-service provides some opportunity for "staged entry," increasing the likelihood that individuals will survive the difficult first years in a profession.[58]

On-going In-Service Training

In education, generally, staff development is largely limited to the enhancement of pedagogical skills. However important these may be, staff development limited to these is unnecessarily narrow and inhibits teacher growth.

Howey, in reviewing the literature of staff development, proposes six purposes for staff development: pedagogical development, understanding and discovery of self; cognitive development; theoretical development; professional development; and career development.[59]

Staff must be provided with many and varied opportunities to integrate acquired knowledge with actual classroom practice. This includes the opportunity to explore ideas and techniques with colleagues. As professionals in a practical art, they need opportunities to see how others work, to hear other ideas of the task and the strategies for carrying it out. This is a partial explanation for the success of teacher centers which "provide opportunities for collegial exchange about pedagogy that are rarely encouraged."[60]

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[58] Philip Schlechty, Understanding and Managing Staff Development in an Urban School System: Executive Summary, 1984.

[59] Kenneth R. Howey, "Six Major Functions of Staff Development: An Expanded Imperative," Journal of Teacher Education, 1985.

Teachers at all stages of their careers should be included in planning their staff development programs. Much of the training must be collegial--with new ideas and new kinds of knowledge being introduced. It should provide for the fact that staff have different needs at different stages of their careers. Use should be made of "master teachers" to work closely with new teachers. Attendance at workshops and seminars, visits to other programs, access to resource materials or participation in total program in-service sessions should be encouraged. Occasional opportunities should be provided for total staff to participate in training as a team.

Evaluation

Systematic assessment of the effectiveness of a program in meeting its goals for children, parents and staff must be planned and conducted to ensure that high quality education is provided.

Evaluation is fundamentally a strategy for learning from experience. It plays a role in all goal-oriented action. The advantage of using evaluation in program planning is that it forces program planners and operators to articulate their goals--making sure they are consistent with the program's underlying theories, values and interests; to consider various strategies for arriving at or implementing those goals; and to develop criteria for later determining whether the goals have been reached.

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[60] Academy for Educational Development, Teacher Development in Schools: A Report of the Ford Foundation, 1985.

High quality programs should engage in self-evaluation which provides a continuous feedback loop for improvements. Comprehensive evaluation occurs on various levels and for a variety of purposes.

- All staff who work in programs should be evaluated at least annually and should also be provided with the opportunity to evaluate their own performance;
- Parents, staff and others who are involved in the program should, annually, evaluate the program's effectiveness in meeting the goals of the program;
- Evaluation should be used as a part of a strategy for developing individualized programs for children.

The last item is perhaps not as typical of the evaluation process. Information for developing individualized learning programs is derived from in-class observation of individual children and their particular way of approaching and learning about the world. Curricular goals, teaching strategies and outcome criteria are developed individually for the children in the class. Viewing the actual child outcomes against the established criteria for success feeds into further observing, planning and thinking.

Evaluation strategies such as these constitute formative evaluation, a feedback loop for program improvement. It should also provide information on how well the long-range plan is working; how the program can be improved; how the program can become more efficient or effective; and whether the program activities being used are the most relevant for attaining objectives.

One of the most important aspects of designing formative evaluation plans is determining who will need/want the information, how that information is going to be reported and used, and when the reports will be made.

Monitoring

The majority of what is considered evaluation in the current program delivery systems comes under the rubric of program monitoring, which indicates whether programs are in compliance with guidelines (items such as: number of children served; characteristics of these children by ethnicity, income-eligibility and geographic location; number of staff and their qualifications). Although monitoring is important, a balance must be maintained between monitoring and other more informative aspects of evaluation.

Old stereotypes of evaluation need to be dispelled. When used creatively, evaluation results form the basis for strong, continuously enriched programs which are productive for all participants--staff, parents and children.

Continuity

Continuity is different from the other elements mentioned. It refers to the establishment of connections between children's pre-school experiences and their later schooling. Such connections build later schooling on the positive benefits children received from their pre-school experience. They bridge the gap between the "little school" and the "big school."[61]

In the Commission's forums, program providers--from public programs to university laboratory schools--expressed concern that children's achievements in pre-school are frequently not supported by their subsequent public school experiences.[62] In particular, many felt that inexperienced teachers and overcrowded classrooms, lack of community responsiveness on the part of some schools and narrow curricula make the public school experience both different from and in opposition to the pre-school experience.

Several strategies have been formulated to increase the continuity between the two experiences. These include:

- The idea of an early childhood learning environment which extends from age three to age eight;

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[61] Early Childhood Education Commission, Manhattan Borough Forum.

[62] Early Childhood Education Commission, Queens Borough Forum, September 19, 1985.

- The idea of learning programs tailored to individuals which are structured in pre-school and continued through the early grades;
- The idea of community openness on the part of the schools, ensuring parental involvement and community responsiveness within the school environment.

These strategies are not mutually exclusive but represent different thrusts on the part of educators at the pre-school and elementary school levels to bridge potential gaps.

The idea of a common learning environment for ages three through eight is based on premises drawn from child development theory. Theory basically holds that children in this age group have similar, if increasingly complex, needs and abilities. Children flourish as learners in an experience-rich environment. This environment includes a wealth of physical activities, diverse materials, opportunities for problem solving, exploration and independent work in language, art, music, mathematics and science.

The reduced class size program in the Public Schools is perhaps the strongest effort in New York City in recent years bearing on this strategy. By reducing class size, the schools hope to encourage the individualization of instruction which is appropriate to early childhood. At the same time, the Early Childhood Education Unit within the Central Board favors the concept of an early childhood learning environment, and has developed curricula and staff development programs appropriate to this concept. Nevertheless, in some districts, the idea remains a rather distant goal.

The second strategy--individualizing programs of instruction based on learning styles--can be seen in the New York Experimental Prekindergarten Program Guidelines.[63] Several years ago, the effects of continuity were systematically studied. Teams were formed in seven of 51 districts State-wide. These teams were composed of past, present and future teachers, as well as non-teaching staff members and the school principal. The teams remained together as the children moved from pre-kindergarten into kindergarten and later into first grade. Staff development within a team focused on ways to capitalize on children's individual learning styles through the provision of varied experiences and appropriate materials. Information was used to plan the children's programs as they moved from one grade to the next.

When effects of continuity were evaluated, this strategy proved successful. Former pre-kindergarten children in districts where continuity was a focus scored significantly higher on standardized assessments of cognitive growth in grades one, two and three than former pre-kindergarten students in districts where there had not been such an emphasis.[64]

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[63] New York State Education Department, Bureau of Child Development and Parent Education, 1985-86 New York State Experimental Prekindergarten Guidelines.

The third strategy--supporting continuity by means of parent involvement and community responsiveness to the school environment--has been the province of Head Start. Over the years, Head Start has advocated for parents and children within local public school systems. It has prepared parents to expect involvement in their children's education and to extend that involvement into the public schools. The studies have examined, directly and indirectly, the impact of Head Start on local schools. They indicate diverse impacts including, for example, modification of school practices, introduction of Head Start concepts, such as parent involvement, into the school system, and changes in parents' perceptions and actions relating to control over their child's education.[65]

In sum, high quality pre-school programs (regardless of the sponsoring agency) are coordinated with the community's educational system. In principle, the connections ought to have a unique symbiosis, enabling, from the very earliest years, a continuity in children's education throughout their school career.

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[64] David J. Irvine, Continuity of Learning Experiences: A Key to Long Range Effects of Prekindergarten, 1980; Evaluation of the New York State Experimental Prekindergarten Program, 1982.

[65] McKey, et al.

CONCLUSION

Many programs operate under less than ideal conditions and have "the look, the sound, the feel" of quality. Others meet (and frequently exceed) all standards and simply do not work. The members of the Commission unanimously believe that quality programs must have all of the elements which have been discussed in this chapter.

Although the Commission is committed to the proposition that publicly-funded educational programs should be available for every child who wants it, we are not willing to sacrifice quality for quantity. The development, cultivation and growth of our children demands vigilance in assuring that standards of quality are being met in all programs.

CHAPTER SIX

PROGRAM IMPLEMENTATION

The ten recommendations of this Report form the framework for establishing universally-available, publicly-funded educational programs for four-year-olds over the next four years. Such public funding is the responsibility of three levels of government--City, State and federal--not one, the City of New York. For this City already bears a disproportionate financial burden in caring for the old and the young, the needy and the handicapped, the untrained and the immigrant of the present and future generations whose well-being is of national import. For the City to take initiative in starting this new venture does not mean that the City should or can go it alone.

The implementation of these recommendations is dependent upon a commitment to a systematic and integrated planning process. The recommendations build on existing systems and take full advantage of the varied experiences, strengths and diversities of program designs and styles. They take into consideration the strength of ACD and the Board of Education as the administrative structures of the three delivery systems--Day Care, Head Start and Public School Pre-Kindergarten--thereby maintaining healthy program diversity. These recommendations will also facilitate grass-roots community, parent and volunteer involvement as well as offer an administrative and fiscal structure which relies on initiatives from below rather than mandates from above.

If these recommendations are to be carried out, the Agency for Child Development and the Board of Education must be fully engaged in the next stages of implementation. The following is a framework--a guide--for the more detailed planning which must occur with the parties involved, once the recommendations have been accepted and the implementation process has been initiated.

Development of a Mayorally-Appointed Office

Phasing-in universally-available programs for four-year-olds is a three stage planning and implementation process:

STAGE ONE - Early Childhood Education Commission
Preparation of the Recommendations
STAGE TWO - Planning for Program Implementation
STAGE THREE - Program Implementation

With the submission and acceptance of these recommendations, Stage One is completed. The first step in Stage Two is to establish a Mayorally-appointed Office (hereafter called the Office) to perform oversight and coordination functions in the planning process. If there is to be a smooth phase-in of programs, this Office, including an Advisory Commission, should be established as soon as possible.

The following principles should apply to the establishment of the Office:

- The three participating publicly-funded delivery systems, through their administrative structures, will continue to operate their programs, manage their own resources and monitor their own activities in accordance with the regulations under which they currently operate. Where legally feasible, the operating and capital costs of the individual programs supported by the proposed initiative will flow from the Mayoral Office to the central systems--ACD Day Care and Head Start and the Board of Education--for disbursement to the individual units. The guidelines under which the programs currently operate will continue to apply. However, if the guidelines and standards of this initiative vary or are higher, they likewise must be met. It is anticipated that, within one year, the guidelines will be uniform across the three delivery systems.
- Successful implementation of the recommendations is dependent upon full involvement and support from ACD and the Board of Education. A high-level individual with decision-making authority should be assigned by each of these agencies to work with the Office. Within the established and agreed upon policies, final decision-making and authority

for this new enterprise will reside with the Office.

The leadership, coordination and oversight roles of the Office fall under five broad categories: initiating and facilitating the Request for Proposal (RFP) process to start-up new programs; monitoring and evaluating the process and progress of implementation of new programs and their adherence to the standards of quality; staff development; research; and development of a more comprehensive City-wide Early Childhood Policy.

In addition, the Office will serve as the catalyst for efforts directed toward stimulating and supporting State legislation and search out federal resources for program support.

Strategy for Phase-In

As discussed in Recommendation Two, it is projected that educational programs for four-year-olds could be universally-available, through targeted phase-in, in four years.

For Year One, a number of Community School Districts will be identified as meeting the criteria for phase-in established by the Commission. These criteria include geographical distribution to ensure inclusion of each of the five boroughs and, within them, high concentrations of four-year-olds unserved in publicly-funded educational programs and considered at-risk of educational failure. Once these areas are designated, priority will be given to areas with high concentrations of children from families at or below the poverty guidelines. All children residing in selected Community School Districts will be deemed eligible for the programs.

It is estimated that the districts targeted for Year One will have approximately 20,500 of the total unserved in the City (53,000). To serve about half of these, or 10,000, the Commission recommends that a maximum of 125 sites be funded for development during 1986-87. Each site will have a minimum of four classes (two in the morning and two in the afternoon) with no more than 20 children per classroom. This configuration would require a minimum of 250 certified teachers and 250 paraprofessionals and supporting staff.

In Years Two, Three and Four, the Commission recommends adding 10,000 children per year, a figure which would require 250 certified teachers per annum. Should it be determined that these additional certified teachers will not be available in the second year, then the even phase-in distributions for the three years must be readjusted.

During each year of phase-in, priority will continue to be given to the geographic areas which meet the three criteria for selection. Therefore, if the needs in the areas identified in Year One were not fully met, they would be considered highest priority for Year Two. Continuing to use these criteria will assure more equitable availability in areas of greatest need.

Request for Proposal. Sites within the targeted areas will be selected through a Request for Proposal process. All new programs will be administered by either ACD through Day Care or Head Start or a Community School District through the Board of Education.

An RFP system should be used to choose program sites from among these three program delivery systems. Standards, which will have been designed and agreed to by ACD and the Board of Education, will be incorporated into the RFPs. Individual schools, Day Care or Head Start programs, if they fall within targeted geographical areas, can propose to expand their programs. Any of these systems could likewise propose to start a new program. The proposals will be screened by the responsible central agencies and, if approved, forwarded to the Mayoral Office, where an external panel of readers will review the proposals and rank them for funding.

The newly funded programs will be limited to a half-day educational program, and such programs will be available at no cost to parents. Day Care will have to be independently expanded to provide extended day care for those families who require such service, but this will be outside the scope and funding of the RFP system. To accomplish this, there will be no charge for a three-hour "educational component" of the day. Day Care will be able, as at present, to charge fees on a sliding-scale basis for the day care element of the program. Similarly, an independent funding strategy will have to be developed by those Head Start or Public School programs which wish to provide extended care and can meet the regulations that govern the extended care components of their programs.

Criteria for selection in the RFP process will be derived from the recommendations of this report: needs of the population to be served, available personnel, curriculum clarity, extent of services, space adequacy, evaluation procedures and collaborative planning.

There will be no predetermination of the extent of participation by each of the three systems in any Community School District. Dividing the program equally between ACD and the Board of Education among the three delivery systems would not permit flexibility in choosing the best proposals and would presuppose capabilities for expansion that may not exist. Nevertheless, it would be desirable for each delivery system to have at least some programs in each of the geographical locations to provide diversity and the full range of options for parents.

We recognize that there is little, if any, space for expansion in some Community School Districts. In such situations, proposals that have a time lag between space acquisition and renovation and program operation should be encouraged.

RFP Process

1. The Office, in consultation with representatives from ACD and the Board of Education, will write the RFP, criteria for proposal selection and details of the RFP process.
2. Day Care Centers, Head Start Programs and individual Community School Districts in the targeted geographic areas will be invited to submit proposals. The first screening of these proposals will be done by ACD and the Board of Education for their respective programs, and the top ones will be forwarded to the Office. A panel of outside readers will rank the proposals and the highest ranked ones will be funded.
3. The dollar amounts of the projects will be calculated and the total amount of money for Day Care and Head Start proposals will be disbursed to ACD, and those of the public schools to the Board of Education, who shall be the contractors for the new programs.

PERSONNEL

Certification

As the City implements universally-available programs for four-year-olds, uniform standards for certification and training must be established. In addition, all systems and programs participating in this enterprise must accept the plan which will be developed for monitoring the quality of staffs' performance.

The Commission has recommended that the standards specified in the New York City Health Code be the accepted ones for teachers of programs for four-year-olds. The Office, with ACD and the Board of Education, will develop a system based on these standards to assure timely processing of certification.

Recruitment

In at least the short run, there is not a sufficient pool of available professionals to staff all programs which exist or will be emerging. In particular, there are not sufficient teachers who represent the cultural diversity present in New York City. Creative recruitment strategies must be used. Some of these might be:

- Development of active recruitment programs at both the high school and college levels to attract people to the early childhood profession.
- Scholarship programs should be developed for academic work at the two- and four-year college levels.
- Creative development of high school internship programs to encourage students to enter early childhood education as a paraprofessional or professional. Scholarships and paid internships

should likewise be arranged to attract bright, capable students to education.

- At the college level, every effort must be made to recruit students to education as they move toward graduation. For students who complete a bachelor's degree in a field other than education who then decide to change to education, there should be transitional programs which encourage and facilitate entry into the teaching profession.
- Development of a high school Early Childhood Education Program should be explored to attract students early to the profession. A thirteenth-grade certification for paraprofessionals might be included in such a program.
- Head Start regulations state that parents are one category of persons who must receive preference for employment as non-professionals. All programs should be encouraged to adopt the same policy.
- The Office will facilitate a full-scale study of a variety of designs for career ladders and work with ACD and Board of Education in instituting them.
- The City must immediately begin working with the unions to assure that wages and benefits are competitive within the profession.

Staff Development

There is an opportunity in the expansion of programs for four-year-olds to set new and higher standards for staff development for all who work in the programs. Benefits would be: for experienced teachers, there would be the challenge of gaining knowledge of issues such as current research in child development and innovative curriculum designs; for the new teachers, a mechanism for orientation and support in starting a new career; for assistant teachers and family workers, collegial training; for paraprofessionals, opportunities for career advancement

Pre-Service. All teaching staff of programs funded under this initiative will be required to participate in four- to six-week pre-service training program. Precedents for this time period already exist. The Board of Education Pre-Kindergarten programs currently provide teachers with a full month of preparation, which includes pre-service training, home visits and preparation of classrooms. Head Start provides for five to seven days of pre-service for new delegate agencies or in delegate agencies where there are a number of new staff.

This initial training is critical for building strong educational programs for four-year-olds. The Office will organize these training programs and be responsible for their implementation. Monies will be set aside for an RFP for designing and delivering the training. This procedure will allow colleges, universities and other training institutions to apply their experiences and expertise to this effort.

ACD and the Board of Education will be involved in the design of the pre-service training program by the Office. Further, it is expected that these two agencies would encourage the existing programs that are expanding to send at least one teacher and one paraprofessional to the pre-service training program.

In-Service Training. Continuing in-service training programs will be designed around the identified needs of local providers. The Office will assist in this identification of needs and facilitate the design of on-site training. At least one day per month should be provided for in-service programs, comparable to what is currently provided by Head Start and Public School Pre-Kindergarten.

Each program will be allocated $6,000 to be used according to the plan detailed in their proposal. The programs will be encouraged to design training in collaboration with other programs in their areas and/or through the Early Childhood Education Centers. In addition, the Office, in cooperation with ACD and the Board of Education, will sponsor a yearly workshop for all providers of educational programs for four-year-olds on topics of current interest. Monies will be set aside in the budget of the Office for this activity.

MONITORING, EVALUATION AND RESEARCH

Assessing program impact will be done at all levels--local, system and Office. It will include: monitoring; formative and summative evaluation (evaluation defined as the process of systematically identifying, collecting, analyzing, reporting and using information about a program); and research.

Monitoring

ACD and the Board of Education will be delegated the responsibility for monitoring the program delivery systems in compliance with established guidelines. Summary reports from the agencies will be submitted to the Office for purposes of writing a biannual report of the progress of the expansion, and the Office will institute sampling validation procedures.

Management Information System (MIS). The Agency for Child Development has an Automated Claiming System in operation which permits it to bill the Department of Social Services for children participating in their programs based on attendance and enrollment data. A new system, to be phased-in by June of 1986, is the Information Referral Vacancy Control System (IRVCS), which will provide automated tracking of vacancies in the Day Care system. Development of an MIS for use by the publicly-funded education programs for four-year-olds should be done in concert with these two ACD systems. An MIS would facilitate recordkeeping, provide cost comparisons and cost-effectiveness analysis and comparative analysis among the programs in areas such as utilization rates of buildings and expenditure fluctuations.

A planning team composed of staff of ACD, Board of Education and the Office will analyze the feasibility of developing the MIS.

Evaluation

Formative evaluation seeks to improve a program while it is being developed. It provides assessment of short-term child and program gains, and answers to questions such as: How can the program(s) be improved? How can the program(s) become more efficient or effective? Are program activities the most relevant for attaining objectives? In essence, it is a feedback loop for program improvement and should be performed during the first few months or first year of new programs. It is expected that, based on the results of such evaluation, ACD and the Board of Education, in cooperation with program administrators, would examine operations and agree on required modifications. The Office will be responsible for developing the appropriate instruments which would then be administered.

In the type of evaluation envisaged, local administrators and teachers should have the necessary skills and instruments so that externally-hired evaluators will not be needed. An aspect of the pre- and in-service teacher training will be to facilitate the acquisition of formative evaluation skills.

Summative evaluations look at established programs that have been operating for some time--i.e., two to four years--to judge how well they have done. The primary purposes of summative evaluation are to examine what impact programs have had on matters such as student attendance, students' attitudes toward school and parental involvement. Summative evaluation will be organized by the Office, perhaps with the help of outside specialists.

Research. The comprehensive scope of this program provides a fertile ground for research on pre-school education and its short- and long-term effects on student learning and later effects in life. The programs will provide a richer mixture of children from culturally- and linguistically-diverse backgrounds than has been available for study. Comparative studies also can be made of the effectiveness of teachers with various backgrounds, training and certification. Longitudinal studies can be made of the comparative effects of various program models and services.

This initiative calls for a carefully designed, multi-faceted strategy. It will require input from experts in the field of early childhood education as well as local policy makers, practitioners, administrators, parents and communities. Both basic and applied research will be conducted.

An RFP should be developed and several research projects funded to provide the City with high quality data.

DEVELOPMENT OF COLLABORATIVE MODELS

Once the programs have been selected and funded through the RFP, 10 to 15 local areas will be identified as targets for development of an Early Childhood Education Center. The geographic boundaries of these centers cannot be determined a priori--providers can best determine the partnerships that will serve local needs. A group of providers, including representation from the local Day Care, Head Start and Public School programs, will write a joint proposal for the development of the Center. This proposal will first have to be approved by ACD and the Board of Education before going to the Office for final decision. A plan will include the center's location, short- and long-range outcomes to be gained from collaboration, staff and services. The Center would not be designed to serve children; rather, it would engage in such activities as:

- Conducting a needs assessment of the program providers to determine on-going staff development and training requirements. These could be met through collaborative arrangements with colleges, universities and other training organizations. Colleges and universities have historically worked with early childhood education programs, and the Center represents an opportunity to renew and strengthen these relationships.
- Developing a unified system of program evaluation, perhaps with outside help, which will permit the

programs to share not only information but also expertise in this area.

- Creating a local advisory council composed of representatives of each of the publicly-funded systems, parents, other citizens, business/industry and the local colleges and universities.

It is important to underscore that these Centers would be for all publicly-funded programs serving children from pre-school to second grade. The advantages would be the building of a system of articulation between and across programs and the creation of a community stake in the total enterprise of education for young children. The Federal Region II's Office of the Administration for Children, Youth and Families, which administers the City Head Start Program, has indicated an interest and willingness to explore ways of mounting demonstration projects under this new initiative. Likewise, administrators of the Early Childhood Education Unit at the Board of Education have agreed to explore potential collaborative projects.

Development of locally-based collaborative projects cannot be left to chance. There must be sustained support to develop such projects. The Early Childhood Centers represent the vehicles for such support.

A bill introduced (1/14/86) in the New York State legislature (S. 7071, A. 8533) would call for collaboration between the State Education Department and the Department of Social Services. Specifically, social service districts and day care providers would be encouraged "to integrate and coordinate programs and facilities with Experimental Prekindergarten programs." In addition, leadership is being provided by a New York City legislator to expand money available for early childhood programs throughout the State.

CHAPTER SEVEN

FINANCING THE PROGRAM

CURRENT SOURCES OF FUNDING

The current revenues for providing publicly-funded educational programs for 22,600 four-year-olds in New York City derive from: federal sources (63 percent); from the State (18 percent); and the City (19 percent). (See Table 9.)

The three-pronged publicly-funded program delivery system--ACD Day Care and Head Start and Board of Education Public School Pre-School programs--currently provides these programs at an estimated total cost of $83 million dollars annually (see Table 10).

PROPOSED SOURCES OF FUNDING FOR PHASE-IN OF EXPANDED PROGRAMS AND PROPOSED ANNUAL COSTS

Proposed Sources of Funding

State. The New York State Education Department has a long-standing interest in early childhood education programs. The New York Board of Regents' 1986 "Recommendations for Legislative Action for Schools" recommends the expansion of public school pre-kindergarten programs to all school districts in the State. The State Commissioner of Education has recommended that pre-kindergarten pupils be treated as

TABLE 9

SOURCE OF REVENUES FOR PUBLICLY-FUNDED PRE-KINDERGARTEN PROGRAMS IN NEW YORK CITY, FY '86

PROGRAM	SOURCES OF REVENUE FEDERAL SHARE	 STATE SHARE	 CITY SHARE
ACD DAY CARE	57%	13%	30%
BOARD OF EDUCATION	11%	75%	14%
NYS EXPERIMENTAL	---	79%	21%
NYS LEGISLATIVE	---	100%	---
NYS UMBRELLA	---	100%	---
TAX LEVY	---	---	100%
CHAPTER I	100%	---	---
ACD HEAD START	100%	---	---
TOTALS	63%	18%	19%

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TABLE 10

FY 1986 BUDGET FOR ACD DAY CARE AND HEAD START AND BOARD OF EDUCATION PRE-SCHOOL PROGRAMS

PROGRAM	FEDERAL $	STATE $	CITY $	TOTAL
ACD DAY CARE	$27,360,000	$6,240,000	$14,400,000	$48,000,000
BOARD OF EDUCATION (TOTAL)	$1,239,000	$8,861,000	$1,651,000	$11,751,000
NYS EXPERIMENTAL	---	5,829,000	1,546,000	7,375,000
NYS LEGISLATIVE	---	2,678,000	---	2,678,000
TAX LEVY	---	---	106,000	106,000
NYS UMBRELLA	---	354,000	---	354,000
CHAPTER I	1,239,000	---	---	1,239,000
HEAD START*	$23,504,000	---	---	$23,504,000
TOTALS	$52,103,000	$15,101,000	$16,051,000	$83,255,000

Note: All figures reflect costs in the proportions to the number of four-year-olds enrolled in the programs. For ACD Day Care, a different strategy was followed, since program costs vary according to the ages of the children served. The per capita cost for four-year-old programs was multiplied by the total number enrolled.

*The City is obligated to provide an additional 20 percent local match, either in-kind or in-cash. The City and the delegate agencies jointly contribute a 20 percent in-kind match.

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State aidable pupils within the State's education assistance formula.

The Commission applauds and supports the Commissioner's effort in this endeavor. At the very least, pre-kindergarten pupils must be treated as aidable pupils. However, the Regents' current proposal, which weights a pre-kindergarten pupil at 0.5, is inadequate. It is unrealistic to treat pre-kindergarten--even though a half-day program--as only half as expensive as a full-day elementary program, given the special needs of four-year-olds, the adult/child ratio mandated by the Commissioner's own pre-kindergarten guidelines, and the special capital and personnel costs that such a program requires. Pre-kindergarten pupils should be given a full 1.0 weighting necessary to meet these costs, plus those additional State weightings that adjust for educational disadvantage.

As the City moves forward in implementing universally-available publicly-funded education programs for four-year-olds, it should work with the Commissioners of both the State Education Department and the State Department of Social Services.

The Department of Social Services is rightly concerned about any expanded programs for young children. Collaborative planning is of critical importance to expanding services without duplication and waste.

This sentiment is underscored in "The Future of Early Childhood Education in New York City," in which the Human

Resources Administration, Agency for Child Development recognizes,

> ...that numerous discussions have occurred between child care groups and the State Department of Education (SDOE) regarding the feasibility of using SDOE monies to support a portion of the day care costs. We wholly support this concept and suggest that the City do all it can to see this happen. In lieu of SDOE transferring money to the State Department of Social Services (SDSS) we recommend that any regulations developed allow the local school district to contract with community-based agencies, and that New York City allocate the State funds for four-year-olds in relation to the public program the parent chooses for the child.[1]

The Commission's projections for sources of revenues to support expanding educational programs for all four-year-olds rely heavily on the assumption that new legislation will be enacted at the State level, more than doubling the State's current share of 12 percent.

Federal Support. It is difficult, given the uncertainties posed by the Gramm-Rudman deficit reduction law and the current tight budget climate in Washington, to confidently project that continued or additional support is forthcoming. The Commission urges the City to mount efforts to lobby against any further federal reductions to programs for young children. In addition, funds should be sought from the federal government for program support costs which would increase the federal share and provide resources for important services.

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[1] The Human Resources Administration, Agency for Child Development, The Future of Early Childhood Education in New York City, 1985.

The City. For Year One of the expanded programs, the City will have to provide full support. In the next three years of phase-in, the City's share, if State and federal funds become available, will stabilize.

Proposed Annual Costs

The projected annual costs of expanding publicly-funded educational programs for four-year-olds is:

YEAR ONE	$ 32,975,500
YEAR TWO	$ 60,396,300
YEAR THREE	$ 87,512,690
YEAR FOUR	$114,243,109

A summary of each year's proposed expenditures is found in Table 11. Table 12 represents the projected governmental sources of revenue contribution.

In addition to classroom operating costs, program-wide annual support costs are recommended. These costs are apportioned among training, central administration and research and evaluation. Start-up costs include the development of regional Early Childhood Education Centers and one-time-only start-up OTPS costs.

It is estimated that capital renovation costs of $25,000 per classroom will be needed for many of the new classrooms to be used.

TABLE 11

SUMMARY BUDGET OF FOUR-YEAR PHASE-IN OF 40,000 ADDITIONAL CLASSROOM SLOTS

	YEAR ONE	YEAR TWO	YEAR THREE	YEAR FOUR	YEAR FIVE
Capacity:					
New	10,000	10,000	10,000	10,000	---
Continued	---	10,000	20,000	30,000	40,000
Total	10,000	20,000	30,000	40,000	40,000
Recurring Operation:					
Classroom operation	$27,000,000	54,000,000	81,000,000	108,000,000	108,000,000
Training	169,500	244,500	319,500	394,500	394,500
Central office	320,000	321,800	334,190	346,609	357,007
Evaluation and research	136,000	130,000	159,000	152,000	152,000
Start-up Costs					
Regional centers	350,000	700,000	700,000	350,000	---
Start-up OTPS	5,000,000	5,000,000	5,000,000	5,000,000	---
Total Cost	$32,975,500	60,396,300	87,512,690	114,243,109	108,903,507
Cost per child	3,298	3,020	2,917	2,858	2,723

IT IS EXPECTED THAT CAPITAL RENOVATION COSTS OF
$25,000 PER CLASSROOM WILL BE NEEDED FOR MANY
OF THE 250 NEW CLASSROOMS TO BE USED EACH YEAR.

TABLE 12

PROJECTED GOVERNMENTAL REVENUE CONTRIBUTION TO PRE-SCHOOL EDUCATION EXPANSION AND CURRENT PROGRAMS 1985-86 TO 1990-91

	CURRENT 1985-86	YEAR ONE 1986-87	YEAR TWO 1987-88	YEAR THREE 1988-89	YEAR FOUR 1989-90	YEAR FIVE 1990-1991
CITY	16,051,000 19%	49,026,500 42%	55,881,700 39%	62,660,798 37%	69,343,402 35%	68,008,501 35%
STATE	15,101,000 18%	15,100,500 13%	35,666,600 25%	56,003,892 33%	76,051,707 39%	72,047,006 38%
FEDERAL	52,103,000 63%	52,103,000 45%	52,103,000 36%	52,103,000 30%	52,103,000 26%	52,103,000 27%
TOTAL	83,255,000 (21,600 SLOTS)	116,230,000 (31,600 SLOTS)	143,651,300 (41,600 SLOTS)	170,767,690 (51,600 SLOTS)	197,498,109 (61,600 SLOTS)	192,158,507 (61,600 SLOTS)

NOTE: The 1985-86 figures (for the City, State and federal sources) are used as the base upon which calculations are made. The assumption is that these will, at a minimum, remain constant. Increases from any one source would, therefore, affect all percentages.

All costs are in 1985-86 constant dollars and are approximate, not exact, figures.

Classroom Operating Costs

In calculating the classroom costs of phasing-in publicly-funded educational programs for four-year-olds, the Commission considered two things.

Firstly, it has recommended that there are essential elements of quality programs. These elements must not only be mandated for programs but there must be adequate resources budgeted to ensure that they are present.

Secondly, the estimated and real costs of the Board of Education's Experimental Prekindergarten and ACD Day Care and Head Start Programs were reviewed and used as the basis for projecting this budget. It is difficult to derive average costs from these programs, because each of the systems has programs that vary in length of day, length of program year and number of children per class. Nevertheless, these programs provide the best data for projections by the Commission.

To assure sufficient funds for new programs, the Commission recommends $3,300 per student for classroom costs for the first year of operation. This figure is comparable to the State-supported Public School Prekindergarten Program for a half-day session, the length of day that has been recommended by the Commission for educational programs. The $3,300 classroom cost includes a $550.00, one-time-only start-up allocation for purchase of durables--both indoor and outdoor. In subsequent years, therefore, the per capita classroom allocation will be $2,750. These calculations are based on units of two sessions with two classrooms with an average of no more than 20 children per classroom. (New York State Experimental Prekindergarten sets 15 as limit; Day Care and Head Start, 20.) Included are costs for: salaries of teachers, assistant teachers, paraprofessionals and support personnel, materials and equipment. While there is a separate category in the Central Office budget for staff development and evaluation, a modest amount has also been set aside in the local program operating budgets.

Criteria have been established for targeting geographical areas for Year One phase-in. The Commission recommends that the goal for Year One should be to increase, by nearly half, the total number of currently-funded slots--an additional 10,000. This would require 125 sites with a minimum of two sessions per site with two classrooms, and 20 children per classroom.

Expense Assumptions for Classroom Costs

1. Class size used for calculation purposes is 20.
2. The classes will be conducted in two half-day sessions.
3. Program Year is 184 days/year.
4. Staff will be allowed 20 working days for start-up of new programs (including pre-service training), and one day per month for in-service training.
5. All existing health code rules and regulations will apply, such as staff qualifications and space requirements.

6. Leasing or renovation of space or capital building will vary from program to program. Detailed substantiation will be required in order to obtain funds.

The following list of per capita items should be used in menu fashion, which would allow for flexibility depending upon the individual setting and needs of a program. For example, program costs will result from variations of staff salaries, requirements for full-time janitors and cooks, rent and so forth.

These categories were derived from an examination of sample program budgets from the New York State Experimental Prekindergarten and Head Start Programs.

A. Personnel costs:

1. Professional staff
   - 2 teachers (salary and benefits)
   - 2 assistant teachers (salary and benefits)
   - 1 family worker or family assistant
   - 1 teacher trainer/administrator
2. Support costs: depending upon where a program is housed, the availability of services and the extent of the use of volunteers, a program may need to budget for one or all of the following:
   - secretary/bookkeeper
   - custodian
   - cook
   - helper

B. Materials and equipment

C. Miscellaneous

- Parent involvement
- In-service training
- Monitoring and evaluation
- Rent, for those programs where it is required
- Maintenance and repairs

D. One-time only start-up costs--for purchase of major equipment and supplies

BUDGET CLASSROOM OPERATIONS

Year One

10,000 Slots @ $2,700	$ 27,000,000

Year Two

10,000 @ $2,700	$ 27,000,000
10,000 Continuing Slots @ $2,700	$ 27,000,000
20,000 Slots	$ 54,000,000

Year Three

10,000 @ $2,700	$ 27,000,000
20,000 Continuing Slots @ $2,700	$ 54,000,000
30,000 Slots	$ 81,000,000

Year Four (Phase-In Completion)

10,000 @ $2,700	$ 27,000,000
30,000 Continuing Slots @ $2,700	$ 81,000,000
40,000 Slots	$108,000,000

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PRE- AND IN-SERVICE TRAINING

A keystone of the proposed initiative is to set new and higher standards for staff development. This budget category provides pre-service training, as well as yearly workshops for all staff of programs under this initiative.

Pre-Service Institute

The Pre-Service Institute is planned for all new teachers (250) and assistant teachers (250) of the programs funded under this initiative.

Where programs are expanding, at least one teacher from the current program (an additional 125 teachers) will also participate in the pre-service training in order to assure continuity and integration. It is estimated that the total number of participants would be 625.

Pre-service activities will occur during the first month of start-up of the programs.

Week One. Three days of training/orientation with participants together in a large group. The training design will include large and small group sessions and a variety of teaching/learning modes. For two days, teachers will be at their own sites. (Staff needs: 10 consultants X 5 days [3 days training, 2 for set-up and preparation] X $150.)

Week Two. Ten geographically-based small group sessions with 10 to 12 sites working together for two days. (Staff requirements: 10 consultants X 5 days [4 days actual work, 1 day reporting] X $150.)

Weeks Three and Four. Teachers will be at their own sites. During these two weeks, a staff development specialist will meet with staff of each site individually. There will be one final large (625) group session on the last day of the month. (Staff requirements: 10 consultants X 5 days X $150.)

Preparation. Two head consultants X 10 days X $150 and ten consultants X 5 days X $150.

On-Going In-Service. Ten geographically-based groups will convene six times a year for in-service. (Staff requirements: 10 consultants X 20 days [8 days preparation, 6 days training, 6 days follow-up and report writing] X $150.)

BUDGET

Pre-Service Institute: for 625 Participants:

Cost: $151.20 per participant

Teacher Training Consultants		
10 X 30 days @ $140 per day	$ 42,000	
2 Head Consultants X 35 days X $150 per day	10,500	
Curriculum/Training Materials Consultants		
5 X 20 days @ $120 per day	12,000	
Preparation/Printing of Materials	30,000	
SUBTOTAL:	$ 94,500	

On-going In-Service: for 250 Teachers and 250 Assistant Teachers:

Cost: $150 per participant

Teacher Training Consultants		
10 X 30 days @ $150 per day	45,000	
Preparation/Printing of materials and kits	30,000	
SUBTOTAL:	$ 75,000	
TOTAL:		$169,500

Year Two

625 New teachers/assistant teachers training @ $151.20	94,500	
1,250 Participants - In-Service @ $120 (Cost reduction due to economy of scale)	150,000	
TOTAL:		$244,500

Year Three

1,875 Participants - In-Service @ $120	225,000	
625 New Teachers/assistant teachers training @ $151.20	94,500	
TOTAL:		$319,500

Year Four

2,500 Participants - In-Service @ $120	300,000	
625 New Teachers/assistant teachers training @ $151.20	94,500	
TOTAL:		$394,500

Mayorally-Appointed Central Office

The Commission has recommended the establishment of a Mayoral-appointed Office to implement its recommendations. Although this Office will be small, it is important that it be adequately staffed with experienced professional educational administrators to accomplish the tasks required for this effort.

BUDGET

Year One

Staff:

Executive Director	$ 60,000
Evaluation Specialist	35,000
Facilities/Equipment Specialist	35,000
Research Specialist	35,000
Staff Development Coordinator	35,000
Secretarial Two @ $18,000	36,000
Fringe Benefits @ 25%	59,000
Travel	10,000
Equipment/Supplies	15,000
	$320,000

Years Two - Four--same costs as Year One plus a 5% cost of living increase.

Year Two	320,000	
5% Cost of Living on wages	11,800	
		321,800
Year Three	321,800	
5% Cost of Living on wages	12,390	
		334,190
Year Four	334,190	
5% Cost of Living on wages	12,419	346,609

EVALUATION AND RESEARCH

Evaluation will be carried out on four levels:

1. Monitoring
2. Formative Evaluation
3. Summative Evaluation
4. Research

To reflect more accurately how monies will be spent, a budget has been developed for each level for each year. In addition, a minimal amount of money has been allocated for evaluation in each of the operating programs.

BUDGET

Year One

Monitoring -- Development of a Management Information System*:		
Development of an Instrument for Data Collection (one-time only)	$ 30,000	
Central Processing of Data (125 sites)	30,000	
Production/Duplication of Reports	20,000	
SUBTOTAL	80,000	
Research: (This sum represents only 50 percent of anticipated costs. The Office will seek matching funds.)		
Consultants to Assist in Design of Research Studies 2 X 20 days @ $150	6,000	
Money for RFP for Research Studies**	40,000	
Materials Preparation/Printing	10,000	
SUBTOTAL	56,000	
TOTAL		$136,000

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* This assumes access to existing main frame owned and operated by one of the City's or Board of Education agencies.

**Universities, research institutes and scholars will submit proposals to conduct small-scale research on topics related to this early childhood education initiative.

Year Two

Monitoring -- Central Processing for 250 sites	$ 50,000	
Production/Duplication of Reports	35,000	
SUBTOTAL	$ 85,000	
Research: (This sum represents only 50 percent of anticipated costs. The Office will seek matching funds). On-going research	$ 35,000	
Materials Preparation/Printing	10,000	
SUBTOTAL	$ 45,000	
TOTAL		$130,000

Year Three

Monitoring -- Central Processing (375 sites)	$ 75,000	
Summative Evaluation Consultants 3 X 20 days @ $150	9,000	
Training for Staff at 50 Sites to assist them in design 2 Trainers for 15 days @ 1,000	30,000	
SUBTOTAL	114,000	
Research (Assumes 50 percent matching funds) -- Same as Year Two	45,000	
TOTAL		$159,000

Year Four

Monitoring -- Central Processing (500 sites)		$ 100,000	
Summative Evaluation -- Collection, Analysis, Reporting of Data 2 Consultants X 20 days @ $150 per day		6,000	
	SUBTOTAL	106,000	
Research (Assumes 50 percent matching funds)		36,000	
Conference to Review Research to Date		10,000	
	SUBTOTAL	$ 46,000	
	TOTAL		$152,000

EARLY CHILDHOOD CENTERS

The Commission has recommended that seed money be budgeted to start geographically-based Early Childhood Centers. The money for each of these projects will be granted on a one-time basis and each will be funded for two years. During that time, programs will be assisted in institutionalizing their projects with money from a permanent base. The seed money would include funds for the following:

Coordinator	$ 25,000
Secretary (.5)	7,000
Expenses for meetings/materials	3,000
	$ 35,000

BUDGET

Year One

10 Projects @ $35,000	$ 350,000

Year Two

10 Continuation Projects from Year One	$ 350,000
10 New Projects	350,000
	$ 700,000

Year Three

10 Continuation Projects from Year Two	$ 350,000
10 New Projects	350,000
	$ 700,000

Year Four

10 Continuation Projects from Year Three	$ 350,000

FACILITY RENOVATION

The average cost of renovation of classroom space, based on Head Start and Board of Education estimates, is $25,000 per classroom. These are one-time costs and include:

General Construction	$10,000
Plumbing	10,000
Heat/Ventilation	1,000
Electrical work	2,000
Contingency - as required	2,000
	$25,000

Not all sites will require renovation; some only minor work; and still others major renovation. Sites will need to apply for the renovation fees. Each year of phase-in, 125 new sites with the equivalent of two classrooms each will be added.

BUDGET

Year One

250 Sites @ $25,000	$6,250,000

Year Two

250 Sites @ $25,000	$6,250,000

Year Three

250 Sites @ $25,000	$6,250,000

Year Four

250 Sites @ $25,000	$6,250,000

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APPENDICES

APPENDIX 1

DEPARTMENT OF PARKS AND RECREATION PRE-SCHOOL PROGRAMS

HISTORICAL BACKGROUND

The Department of Parks and Recreation (DPR) has a history of organizing group activities to attract youngsters from the streets into safe, supervised recreation. With the centralization and expansion of parks and playgrounds during Robert Moses' tenure as Parks Commissioner, the Department, largely with federal relief monies, hired additional recreational staff and employed them in the playgrounds to oversee facilities and activities and games. During this time, about the mid-1930s, the DPR began providing organized pre-school programs. In the late 1930s, the DPR began to construct its own buildings. Recreation moved indoors. The number of pre-schools increased.

In 1979, the Department hired a consultant with a Master's degree in Early Childhood specializing in the Montessori Method. Her assignment was twofold: to develop pilot pre-school programs and to examine the relationship between the Montessori Method and existing pre-school services. Five pilot programs were developed in 1979 which grew to 15 by 1982. While adherence strictly to Montessori did not occur, there was an increased standardization of programs throughout the system. In 1982, DPR established an Office of Preschool Services to set performance standards, monitor compliance, provide in-service training and keep the DPR administration abreast of pre-school education issues. Currently, Preschool Services is part of Specialized Services which reports to the Assistant Commissioner for Recreation. In addition to the Coordinator, Preschool Services is staffed by two assistants.

CURRENT STATUS

Currently, there are 45 pre-school programs City-wide. In addition, two other sites will soon be available, and with minor renovation and additional staff, the Department estimates it could accommodate a 35 percent expansion. Currently, 1,332 children are enrolled in pre-school programs, 90 percent of whom are four-year-olds. The enrollment is approximately 75 percent White, 15 percent Black, 5 percent Asian and 5 percent Hispanic.

With some exceptions, the daily program length is 2.5 hours. The program is offered September to June. According to Department regulations, the pre-school spaces can be multipurposely used. In practice, however, they are not, although they are converted to day camps for older children during the summer months.

Eligibility

There are no eligibility requirements and children are enrolled on a first come, first served basis. While there is no tuition, by "parent consensus" a maximum fee of $95 per child per year can be charged. This money is used to purchase supplementary supplies, or for special events and trips. Currently, the cost per child is $2,000 per year.

Staffing

Staffing Patterns. Currently, the adult-child ratio per program is two adults to 20 children. With some exceptions, one of those adults is a teacher and one is a parent volunteer, making the actual teacher-child ratio 1 to 20.

Staffing Qualifications. Permanent staff are civil servants and as such are required to pass a civil service exam. Recreation Director is the applicable civil service title for pre-school teachers.

Prior to World War II, due to a decline in teachers needed for the public school system, the Department also was able to require a B.A. degree in education for the Recreation Director title. For a brief period in the 1950s, standards were lowered to two years of college experience. However, this was soon changed to what has remained the criteria: a B.A. degree in a field related to recreation such as education, sociology, physical education, etc., plus a passing grade on the civil service exam.

APPENDIX 1

Since the civil service title covering pre-school teachers is Recreation Director, according to Departmental regulations, pre-school teachers can be assigned to non-pre-school tasks such as supervising an after-school indoor games program, for example. However, with the exception of the summer months, such reassignment is not realized in the system.

Salaries. Entry level Recreation Director salary is $19,275 per year. However, since DPR has not given the Recreation Director's examination for a number of years, some pre-school teachers hold the lesser title, Recreation Assistant, and thus earn approximately $5,000 per year less.

Staff Development. The Office of Preschool Services conducts a week of in-service training at the start and in the middle of each program year. There are also monthly borough-wide meetings. The primary goal of in-service training is to upgrade a teacher's skills. A second goal is to create or strengthen a "teacher" identity in recreational staff.

The Preschool Office believes it takes one year of combined in-service training, supervision and hands-on experience to properly train a teacher if the individual has a B.A. degree and some experience with children (camp counselor, group leader, etc.). Without that experience, approximately 18 months is required.

APPENDIX 1

Monitoring and Evaluation

The central Preschool Services Office is responsible for monitoring program quality. Minimally, there are quarterly site visits to each program. The less experienced teachers or the teachers having difficulty in meeting standards are visited more frequently than others. A memo outlining the results of the site visits, including problem areas and goals, and target dates for improvement, is sent to teachers and supervisors. The central Preschool Office assumes responsibility for follow-up, offering suggestions and technical assistance. The Preschool Office is also developing materials to measure program effects on children, specifically in the areas of cognitive and social development.

APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS

NYS EXPERIMENTAL PREKINDERGARTEN [1]	HEAD START[2]	ACD DAY CARE[3]	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS[4]
I. BACKGROUND			
Goals: --to serve children who, because of conditions in their homes or neighborhoods, may not be able to receive the maximum benefits from school --to overcome potential educational deficits in the backgrounds of disadvantaged children --to disseminate promising practices --to provide continuity of educational experiences from pre-k thru the early grades	**Goals:** --to bring about a greater degree of social competence (i.e., everyday effectiveness in dealing with both the present environment and later responsibilities in school and life) in children of low income families--taking into account the interrelatedness of cognitive and intellectual development, physical and mental health, nutritional needs and other factors that enable a developmental approach to helping children achieve social competence	**Goals:** --to foster the comprehensive and continuous development of each child --to foster positive group relations and interaction among children --to support parents in their child rearing roles	**Definition:** A high quality early childhood program is one which meets the needs of and promotes the physical, social, emotional and cognitive development of the children and adults--parents, staff and administrators--who are involved in the program

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[1] Taken from 1984-85 and 1985-86 Guidelines for Planning and Implementing New York State Experimental Prekindergarten Programs, and Children's Spaces.

[2] Taken from Head Start Program Performance Standards. U.S. DHHS Publication No. (OHDS) 81-31131. Issued 1975. Reprinted 1981; and Head Start Administrative Self-Assessment Validation Instrument. U.S. DHHS. January, 1983.

[3] Taken from Handbook of Standards. Agency for Child Development, the City of New York Human Resources Administration, 1979.

[4] Taken from Accreditation Criteria and Procedures of the National Academy of Early Childhood Programs. National Association for the Education of Young Children, 1984. The National Academy of Early Childhood Programs, a division of NAEYC, administers a National voluntary accreditation system for good quality early childhood centers and schools.

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
Eligibility Criteria: --90% from economically disadvantaged families In addition to low income, the following are considered: *large families *substandard housing *history of chronic family illness *low achieving siblings *family difficulties with the law	**Eligibility Criteria:** --90% from economically disadvantaged families, determined according to federal poverty index --10% must have handicapping conditions	**Eligibility Criteria:** Social Eligibility-- --parent(s) must demonstrate need for day care in order to remain self-supporting (i.e., work at 20 hrs/wk, be looking for work, be enrolled in a 2-year education or training program) OR parent(s) must be deemed incapable of caring for the child at home Financial Eligibility: --free services to families on AFDC, SSI, HR or Medicaid OR with a gross income less than $6,540 for a family of two up to $13,260 for a family of six --services with a fee to families with gross income up to $17,640 for a family of six. Fees range from $1 to $45/wk per child	**Eligibility Criteria:** (Criteria have been established for all early childhood programs, regardless of children's family background.)

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
II. PROGRAM COMPONENTS			
1) Developmentally-oriented curriculum Which shows evidence of planning for age appropriate activities With emphasis on building feelings of: *self-worth *independence And enhancing the development of the child's full potential including: *social *emotional *intellectual *physical growth *moral/ethical growth	1) Educational component Planned to provide age-appropriate experiences which will encourage: *self-confidence *spontaneity *curiosity *self-discipline *patterns of success *enhancement of dignity and self-worth And help children to develop: *socially *emotionally *intellectually *physically	1) Developmentally oriented curriculum planned to consider children's strengths, needs and individual qualities Activities are provided to develop: *fine and gross motor skills *communication skills *self-help skills *social skills *empathy *competence *creativity *a beginning conscience Activities are: --varied, e.g., individual, small group, active or quiet --scheduled to reflect the needs of children in care for long hours	1) Developmentally-appropriate curriculum Planned to reflect the program's philosophy and goals for children Through concrete experiential learning: *foster positive self-concept *develop social skills *encourage children to think, reason, question and experiment *encourage language development *enhance physical development and skills *encourage creative expression *respect cultural diversity The schedule provides activities balanced according to: *indoor/outdoor *quiet/active *individual/small group/large group *large muscle/small muscle *child initiated/staff initiated
Equipment includes a variety of concrete materials Arranged in centers of interest which encourage:	(Intellectual) Age-appropriate materials in the areas of: *science: concepts of size, shape, texture, weight, color, etc.	Materials are: --age appropriate --safe, clean and durable	Materials *are developmentally appropriate *reflect societal diversity

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
*independent choice *creative expression *enjoyment of books, pictures and poetry *body coordination--both indoors and out *exploration of scientific and numerical concepts *manipulation of varied materials	*dramatic play *art *music *numerical concepts: special, locational, etc. To encourage children to: *solve problems *initiate activities *explore *question *gain mastery And: *games, stories, songs To develop language (Physical) Indoor and outdoor space, materials and equipment to develop children's: *large muscles *small muscles *eye-hand coordination *body awareness *rhythm and movement	--are of sufficient variety to enhance activities: *art *blockbuilding *fine motor skills *storytelling *dramatic play *music *cooking *woodworking *science *gross motor skills *creative play	*avoid stereotyping *emphasize concrete experiential learning
	The educational component is individualized to meet the special needs of children from various populations by: *having the curriculum reflect and be relevant to the population served *having staff reflective of the racial and ethnic population of the group When a majority of the children speak a language other than English,		Modifications are made in the environment when necessary for children with special needs

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
	at least one aide or teacher must speak their language		
	*including parents in curriculum development		
	Planning takes the abilities of the children into account	Planning takes children's needs and strengths into account	
Facility:			
Minimum space recommended: 900 sq. ft. per classroom or 50 sq. ft. per child	Evidence that the center meets or exceeds state or local licensing requirements for similar kinds of facilities for fire, health and safety There should be at least: --35 sq. ft. of indoor space per child available for the care of children (i.e., exclusive of bathrooms, halls, kitchen, etc.) --75 sq. ft. per child outdoors	Indoor space: Minimum allowance of 35 sq. ft. wall-to-wall per child in a play room Outdoor space: --If on-site, 75 to 100 sq. ft. per child based on the number using the space at any one time --If off-site, sufficient to accommodate the group	The indoor and outdoor environments are safe, clean, attractive and spacious, with a minimum of: --35 sq. ft. of usable playroom floor space indoors per child --75 sq. ft. of play space outdoors per child
Staffing:			
--Group size: 15	--Group size maximum: 20	--Group size maximum: 20	--group size upper limit: 20
--Adult-child ratio: 2:15	--Adult-child ratio: 1:12, or 2:20	--Adult-child ratio: 1:12, or 2:20	--Adult-child ratio: 1:10 Lower group sizes and ratios are optimal

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
--Qualifications Teachers: *NYS certification *specialization in early childhood education Assistants/Aides: *demonstrated interest and ability to work with young children	--Qualifications (Performance Standards superseded by NYC Health Code) Group Teachers: *NYS Certification OR *an approved study plan geared to meet certification plus one year experience as an assistant or aide Assistant Teacher: *at least 19 years *high school grad	--Qualifications Group Teachers: *NYS Certification OR *an approved study plan geared to meet certification plus one year experience as an assistant or aide Assistant Teacher: *at least 19 years *high school grad	--Qualifications Group Teachers: *B.A. Degree in early childhood education Associate Teachers: *CDA credential or *A.A. Degree in Early Childhood Education Assistants/Aides: *high school graduate *participant in professional development programs
--Staff Development *orientation sessions *regular meetings of total staff *focus on observational child assessments *focus on work with parents *planned conferences with kindergarten and early elementary teachers in order to plan for continuity of learning	--Staff Development *analysis of staff needs *provision of job training where applicable *provision of career counseling *provision of supervisory training	--Staff Development *orientation for new staff *regularly scheduled individual conferences with the director *staff meetings *frequent observations and discussions of teachers' performances *periodic in-service training	--Staff Development Regular training opportunities for staff to improve skills through: *attendance at workshops *intervisitations *access to resource materials *in-service sessions *enrollment in college level courses Training addresses: *health and safety *child development *activity planning *guidance and discipline *community linkages *relations with families *child abuse

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
2) SUPPORT SERVICES including: *classroom observations *home visits *support and crisis intervention *individual counseling *parent group meetings *cooperation with other agencies	2) SUPPORT SERVICES including: *recruitment of children *recruitment of handicapped children *provision of or referral to counseling *crisis intervention *education re: community services *follow-up of same *advocacy for families *identification of social services needs of families *cooperation with community agencies	2) SUPPORT SERVICES *An assigned staff will make and follow-up on referral to social service agencies *An up-to-date written record which summarizes the reason for the referral, the social service agency involved and the outcome is maintained in the child's file	SUPPORT SERVICES --familiarity with appropriate community social services resources
3) HEALTH arrange for: *immunizations *medical appraisal *evaluation of vision *evaluation of hearing *dental care *psychological assessment where needed *follow-through with parents *preventive education	3) HEALTH provide or arrange for: *maintenance of medical files *health screening *growth assessment *vision testing *hearing testing *testing for anemia *tuberculin testing where indicated *other selected screening where appropriate *immunizations *identification of the special needs of handicapped children *dental exam *obtaining or arranging for treatment of all detected health problems *health education for staff, parents and children	3) HEALTH *informal daily health inspection of each child *current and cumulative medical information is maintained on each child *appropriate aspects of health education are integrated into the programs for both children and parents	HEALTH --maintenance of a written health record for each child --written policy specifying limitations on attendance of sick children --assurance that staff receive regular training in first aid

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
	*availability, at least on a consultation basis, of a mental health professional		
4) NUTRITION --Funding comes through USDA. Each program must take "full advantage" of this --No family is to be charged for food --Programs should consider restricting food service to one reimburseable meal which provides the greatest nutrition to children --Programs should have a nutritionist available for consultation	4) NUTRITION Each program must: *identify nutritional needs and problems of children and families *provide each child in a part-day program with food providing at least 1/3 of the child's daily nutritional needs, with consideration for meeting any child's special needs *provide children in morning programs with a nourishing breakfast *provide each child in a full-day program with food providing 1/2 to 2/3 of the child's daily nutritional needs *serve food conforming to minimum standards for meal patterns	4) NUTRITION *Meals and snacks provide nutrients necessary to meet 2/3 of pre-school child's food requirement *Food is purchased in accordance with nutritional guidelines and USDA requirements *Meals are served family style *Food is prepared and served in an appropriate manner for small children (e.g., in small, pre-cut sizes) *Nutritional education is integrated into the programs for both children and parents	NUTRITION --Meals and/or snacks are planned to meet the child's nutritional needs as recommended by the Child Care Food Program of the USDA, in proportion to the amount of time the child is in the program each day --Menu information is provided to parents --Mealtimes promote good nutrition habits --Mealtimes are pleasant social and learning experiences for children --At least one adult sits with children during meals --Food brought from home is stored appropriately until consumed --Where food is prepared on the premises, the center is in compliance with legal requirements
5) PARENT INVOLVEMENT A wide range of options are possible: *parent observation *parent volunteering *parent employment in the program	5) PARENT INVOLVEMENT Provide a planned program of experiences and activities which support and enhance the parental role as the principal influence in their child's education	5) PARENT INVOLVEMENT *Pre-admission information is provided (e.g., program goals, eligibility, etc.)	PARENT INVOLVEMENT --Parents are well-informed about and welcome as observers and contributors to the program *Information about the program is given

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
*opportunities for individual counseling *home visits *opportunities for participation in decision-making *participation in meetings, study circles and conferences with emphasis on: -child-rearing practices -child growth and development -parenting skills	The program must include: *Parent participation in the classroom as: -paid employees -volunteers -observers *Parent participation in the process of decision-making about the nature and operation of the program *Activities for parents which they have helped to develop (i.e., parent education, community projects, etc.) *Home visits by the teacher at least twice during the year--to develop activities to be engaged in by parent and child	*An orientation is provided to new parents which includes a visit to the program, collecting information about the child and a discussion of parents' expectations *Parents are encouraged to participate actively in the program *Periodic individual conferences are held to discuss a child's progress and for parents to participate in planning for an assessment of the child *Periodic group meetings are held for each class to enhance parents' understanding of their role in their child's development	to new prospective families *There is an orientation process for children and families *Staff and parents communicate regarding home and program child rearing practices *Parents are welcome visitors at all times (i.e., to observe, eat lunch with a child, volunteer) *A verbal and/or written system is established for sharing day-to-day happenings that may affect children *Conferences are held at least once a year
6) EVALUATION Comprehensive, developmental and longitudinal in nature *based heavily on classroom observations of children	6) EVALUATION Annual self-assessment Validated periodically by the Regional Office through the Regional Training Grant	6) EVALUATION *Teachers maintain at least semi-annual records on individual children in order to determine the child's progress	EVALUATION --Systematic assessment of the effectiveness of the program in meeting goals for children, parents and staff is conducted at least annually

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APPENDIX 2: EARLY CHILDHOOD PROGRAM COMPONENTS (Continued)

NYS EXPERIMENTAL PREKINDERGARTEN	HEAD START	ACD DAY CARE	NATIONAL ACADEMY OF EARLY CHILDHOOD PROGRAMS
*(pre-test, post-test models alone will not be approved)		and the effectiveness of the program	--Individual descriptions are compiled as a basis for planning appropriate learning activities and as record for use in communicating with parents --The director evaluates all staff at least annually
7) CONTINUITY A follow-through program which provides for all components to be continued through at least 3rd grade Including options such as: *service of specialists to work with staff to develop observation and recording skills *provision of substitutes to free teachers to meet and share information, to visit classrooms, etc. *scheduling of team meetings with staff who have worked with the children			

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